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Estimates in respect of special political missions, good offices and other political initiatives authorized by the General Assembly and/or the Security Council

Thematic cluster II: sanctions monitoring teams, groups and panels

Report of the Secretary-General

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I. Financial overview

1. The proposed resources for 2017 for special political missions grouped under this cluster amount to $34,881,600 (net of staff assessment). Table 1 allows for a comparison between the proposed resources for 2017 and the resources for 2016 as approved by the General Assembly in its resolutions 70/248 and 70/250. The resource requirements for 2017 are based on the assumption that the current mandates of the special political missions, good offices and other political initiatives will be extended by the Security Council until 31 December 2017 or beyond.

Table 1
Resource requirements
(Thousands of United States dollars)

	1 January-31 December 2016				*Requirements for 1 January-31 December 2017*			
Special political mission	*Appropriation* (1)	*Estimated expenditures* (2)	*Variance under- (over-) expenditures* (3)=(1)-(2)	*Appropriation 2016* (4)=(1)	*Total requirements* (5)	*Non-recurrent requirements* (6)	*Variance (2017-2016)* (7)=(5)-(4)	*Net requirements for 2017[a]* (8)=(3)-(3)
Monitoring Group on Somalia and Eritrea	2 265.7	2 230.6	35.1	2 265.7	2 247.2	–	(18.5)	2 212.1
Group of Experts on the Democratic Republic of the Congo	1 270.2	1 238.0	32.2	1 270.2	1 231.3	–	(38.9)	1 199.1
Panel of Experts on the Sudan	1 080.1	866.5	213.6	1 080.1	1 101.6	–	21.5	888.0
Panel of Experts on the Democratic People's Republic of Korea	2 599.7	2 514.5	85.2	2 599.7	2 524.4	–	(75.3)	2 439.2
Panel of Experts on Libya	1 359.9	1 271.5	88.4	1 359.9	1 327.4	–	(32.5)	1 239.0
Panel of Experts on the Central African Republic	1 172.0	1 147.0	25.0	1 172.0	1 172.0	–	–	1 147.0
Panel of Experts on Yemen	3 017.3	2 971.4	45.9	3 017.3	2 685.4	–	(331.9)	2 639.5
Panel of Experts on South Sudan	1 428.4	1 198.3	230.1	1 428.4	1 319.3	–	(109.1)	1 089.2
Analytical Support and Sanctions Monitoring Team pursuant to resolutions 1526 (2004) and 2253 (2015) concerning ISIL (Da'esh), Al-Qaida and the Taliban and associated individuals and entities; and the Office of the Ombudsperson established pursuant to resolution 1904 (2009)	6 305.8	5 920.0	385.8	6 305.8	6 729.3	–	423.5	6 343.5
Implementation of Security Council resolution 2231 (2015)	1 291.2	1 035.2	256.0	1 291.2	2 136.8	–	845.6	1 880.8
Support to the Security Council Committee established pursuant to resolution 1540 (2004) on the non-proliferation of all weapons of mass destruction	3 143.1	3 128.1	15.0	3 143.1	2 875.7	–	(267.4)	2 860.7

	1 January-31 December 2016				Requirements for 1 January-31 December 2017			
Special political mission	Appropriation (1)	Estimated expenditures (2)	Variance under- (over-) expenditures (3)=(1)-(2)	Appropriation 2016 (4)=(1)	Total requirements (5)	Non-recurrent requirements (6)	Variance (2017-2016) (7)=(5)-(4)	Net requirements for 2017[a] (8)=(5)-(3)
Counter-Terrorism Committee Executive Directorate	8 723.7	8 909.0	(185.3)	8 723.7	9 531.2	1.2	807.5	9 716.5
Total	**33 657.1**	**32 430.1**	**1 227.0**	**33 657.1**	**34 881.6**	**1.2**	**1 224.5**	**33 654.6**

[a] Net requirements after taking into account the estimated underexpenditures or overexpenditures for 2016.

II. Special political missions

A. Monitoring Group on Somalia and Eritrea

($2,247,200)

Background, mandate and objective

2. The Monitoring Group on Somalia and Eritrea is a successor to the Monitoring Group on Somalia, the mandate of which was expanded to encompass the Eritrea sanctions regime with the adoption of Security Council resolution 1907 (2009). The mandate of the Monitoring Group has been subsequently extended by the Council a number of times, most recently by its resolution 2244 (2015), until 15 December 2016.

3. The Monitoring Group, which is based in Nairobi, comprises a Coordinator (also the maritime and transport expert) and seven experts, in the areas of arms, armed groups, transport, humanitarian affairs, finance (two experts) and regional issues. On Somalia, the Group monitors compliance with an arms embargo regime, a ban on the export and import of charcoal from Somalia, a travel ban and an assets freeze. On Eritrea, the Group monitors compliance with a two-way arms embargo, a travel ban and an assets freeze. The Group reports to the Security Council through its Committee pursuant to resolutions 751 (1992) and 1907 (2009) concerning Somalia and Eritrea. The Group is mandated to undertake the following tasks in accordance with resolutions 2060 (2012), 2093 (2013), 2111 (2013), 2142 (2014), 2182 (2014) and 2244 (2015), inter alia:

(a) To monitor and investigate the implementation of the measures imposed on Somalia and Eritrea (arms embargoes, travel bans, asset freezes and Somali charcoal ban);

(b) To assess actions taken by Somali authorities, as well as Member States, in particular those in the region, to fully implement the arms embargo regime;

(c) To make specific recommendations based on detailed information in relevant areas of expertise related to violations and measures to give effect to and strengthen the implementation of the arms embargoes in its various aspects;

(d) To investigate, in coordination with relevant international agencies, all activities, including in the financial, maritime and other sectors, which generate revenues used to commit violations of the Somalia and Eritrea arms embargoes;

(e) To investigate any means of transport, routes, seaports, airports and other facilities used in connection with violations of the Somalia and Eritrea arms embargoes;

(f) To assist the Committee in compiling narrative summaries of reasons for listing individuals and entities designated by the Committee;

(g) To compile, refine and update information on the draft list of those individuals and entities that potentially meet the listing criteria for possible future measures by the Security Council;

(h) To investigate any seaport operations in Somalia that may generate revenue for Al-Shabaab;

(i) To provide the Committee with information on compliance regarding the requirement for all Member States, in particular Eritrea, to cease arming, training and equipping armed groups and their members, including Al-Shabaab, which aim to destabilize the region or incite violence and civil strife in Djibouti, and the requirement for Eritrea to cease facilitating travel and other forms of financial support for individuals or entities designated by the Committee and other Sanctions Committees, in particular the Committee pursuant to resolutions 1267 (1999) and 1989 (2011);

(j) To work closely with the Committee on specific recommendations for additional measures to improve overall compliance with the sanctions measures;

(k) To assist in identifying areas where the capacities of States in the region can be strengthened to facilitate the implementation of the sanctions measures;

(l) To report on and provide the Committee with an assessment of the progress made by the Federal Government of Somalia to put the infrastructure in place to ensure the safe storage, registration, maintenance and distribution of military equipment by its security forces, as well as the progress made by the Government in establishing the procedures and codes of conduct for the registration, distribution, use and storage of weapons by its security forces, and on training needs;

(m) To provide an assessment of any misappropriation or sale of arms and ammunition and military equipment to other groups, including militias, in order to assist the Security Council in any review of the appropriateness of the modified arms embargo on Somalia;

(n) To report on its own ability to monitor the delivery of weapons, military equipment and assistance to Somalia;

(o) To submit progress reports to the Committee on a monthly basis;

(p) To provide to the Council, through the Committee, a midterm briefing;

(q) To submit, for the consideration of the Security Council, through the Committee, two final reports, one focusing on Somalia, the other on Eritrea, covering all the aspects of its mandate;

(r) To provide further detailed information on possible environmentally sound destruction of Somali charcoal;

(s) To report on the implementation of maritime interdiction of charcoal and arms;

(t) To provide the Federal Government of Somalia with feedback on its reporting to the Committee and to keep the Security Council regularly informed on compliance by the Government with the modified arms embargo regime on Somalia.

Cooperation with other entities

4. In carrying out its mandate, the Monitoring Group on Somalia and Eritrea cooperates with other sanctions teams, groups and panels established by the Security Council as mandated and appropriate. It continues to provide assistance to the Federal Government of Somalia in cooperating with the Government of Eritrea, as well as with the authorities in Puntland and Somaliland.

5. The Monitoring Group continues to work closely with the Special Representative of the Secretary-General for Somalia and Head of the United Nations Assistance Mission in Somalia (UNSOM) and other United Nations agencies, in particular those that address protection and humanitarian issues.

6. The Monitoring Group collaborates with regional and subregional organizations, such as the African Union, the African Union Mission in Somalia, the League of Arab States, the Intergovernmental Authority on Development (IGAD), the European Union, the North Atlantic Treaty Organization (NATO), the Combined Maritime Forces, the International Civil Aviation Organization (ICAO), the International Maritime Organization, the International Criminal Police Organization (INTERPOL) and the World Customs Organization (WCO). Furthermore, the Group interacts with a wide range of government officials and representatives of the private sector and non-governmental organizations on issues related to its mandate.

7. The Monitoring Group benefits from support provided by the United Nations Support Office in Somalia (UNSOS) and the United Nations Office at Nairobi.

Performance information

8. The Monitoring Group on Somalia and Eritrea was able to provide credible information to the Security Council and its Committee on Somalia and Eritrea on the threats to peace and security in Somalia, violations of the arms embargo, obstruction of humanitarian assistance, violations of international humanitarian law and violations of the charcoal ban. This was achieved through fieldwork in the region, especially in Somalia and beyond. In relation to its mandate on Eritrea, the Group held several meetings with the Permanent Mission of Eritrea to the United Nations. The Monitoring Group continued to submit monthly progress reports to the Security Council Committee and has presented its midterm briefing to the Committee on 22 April 2016.

Table 2
Performance information for 2016

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• The Monitoring Group maintained a regular presence in key areas of the region, including Mogadishu, Kismayo, Garowe and Hargeysa, which allowed the Committee to receive timely updates on potential violations of the arms embargo and the charcoal ban and on humanitarian issues. The Group provided the Committee with a comprehensive analysis of the implementation of the sanctions regimes and has provided substantive information on individuals and entities involved in violations through monthly and midterm reporting and through letters to the Committee
	• The Committee was able to follow up on violations by sending letters to selected individuals/entities and, in some cases, the Chair of the Committee met with the stakeholders concerned
	• The Monitoring Group engaged directly with the Member States receiving charcoal from Somalia, providing them with real-time information, in order to assist them in their efforts to implement the charcoal ban
	• The Monitoring Group informed the Committee and engaged directly with relevant Member States in relation to its inspections of high sea interdictions, by providing them with real-time information, in order to assist them in their efforts to implement the arms embargo
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• In its monthly updates and midterm briefing on Somalia and Eritrea, the Monitoring Group provided the Committee with a comprehensive analysis of the implementation of the sanctions regimes and provided recommendations on possible actions to be taken by the Committee and adjustments to the sanctions regimes to be considered by the Security Council
	• The Monitoring Group investigated thoroughly all aspects related to the sanctions regimes on Somalia and Eritrea, including the implementation of the partial lifting of the arms embargo, which enabled the Security Council, through the Committee, to assess whether to review the partial lifting of the arms embargo for the Government of Somalia
	• The Monitoring Group provided the Committee with the text of a draft implementation assistance notice summarizing the arms embargo restrictions in place for Somalia and Eritrea, including exemptions to such restrictions, in accordance with paragraph 4 of resolution 2244 (2015). This was issued by the Committee on 14 March 2016
(c) Improved compliance by States and other entities with the sanctions measures	• As a result of the activities of the Monitoring Group, such as writing letters and holding meetings with relevant Member States and other entities, there has been increased awareness of the different aspects of the sanctions regimes on Somalia and Eritrea among Member States, which has resulted in an increase in the number of exemption requests/notifications received and considered by the Committee. This contribution of the Group is especially important in the context of the partial lifting of the arms embargo for the Federal Government of Somalia

Planning assumptions for 2017

9. In 2017, the Monitoring Group on Somalia and Eritrea will continue to monitor the implementation of the arms embargoes on Somalia and Eritrea and the ban on the export and import of charcoal from Somalia. The Group will also monitor compliance with the targeted sanctions imposed by the Security Council in its resolutions 1844 (2008) and 1907 (2009). It will conduct extensive fieldwork in Somalia and inform the Security Council Committee of its activities on a monthly basis. It will provide periodic updates, a midterm briefing and two final reports that set out a detailed account of its investigations and include recommendations for consideration by the Council on how to make the sanctions regimes on Somalia and Eritrea more efficient and effective. Pursuant to paragraph 12 of resolution 2142 (2014), the Group will provide assistance to the Federal Government of Somalia in its reporting requirements to the Council. Pursuant to paragraph 49 of resolution 2182 (2014), the Group will report on the implementation of maritime interdictions of charcoal and arms.

10. The objective, expected accomplishments, indicators of achievement and performance measures of the Monitoring Group are set out in table 3.

Table 3
Objectives, expected accomplishments, indicators of achievement and performance measures

Objective of the Organization: To prevent all delivery of weapons and military equipment to Somalia and Eritrea

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(i) Number of official communications from the Security Council Committee to States and other entities on alleged violations cited by the Monitoring Group	Target	5	5	5
		Estimate		5	5
		Actual			3
	(ii) Number of bilateral meetings between the Chair of the Committee and concerned States and organizations to follow up on the reports of the Monitoring Group	Target	4	4	4
		Estimate		4	4
		Actual			3

Outputs

- Reports to the Security Council (2)
- Updates to the Committee on the activities of the Monitoring Group (12)
- Investigative reports on violations of the sanctions regime (10)

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(i) Number of recommendations made by the Monitoring Group agreed upon by the Committee	Target	15	12	10
		Estimate		15	10
		Actual			17
	(ii) Number of recommendations by the Monitoring Group incorporated by the Security Council into subsequent resolutions	Target	5	5	5
		Estimate		5	5
		Actual			5

	(iii) Number of amendments to entries on the Committee's sanctions lists	Target	5	5	8
		Estimate		5	5
		Actual			0

Outputs

- Recommendations on adjustments to the sanctions regime (10)
- Recommendations concerning new individuals and entities to be listed or updates to the existing sanctions lists (8)

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(c) Improved compliance by States and other entities with the sanctions measures	(i) Number of communications from States and other entities informing on compliance-related issues	Target	60	52	50
		Estimate		60	52
		Actual			60
	(ii) Number of communications from States and other entities seeking advice on how to comply with the measures	Target	7	2	2
		Estimate		7	5
		Actual			5

Outputs

- Communications to States and other entities requesting action or updates relating to compliance with the sanctions measures (50)
- Investigative reports on compliance of States and other entities with the sanctions regime (22)

External factors

11. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Monitoring Group, and provided that the investigations of the Group are unhindered.

Resource requirements (regular budget)

Table 4
Financial resources
(Thousands of United States dollars)

	1 January-31 December 2016			*Requirements for 1 January-31 December 2017*				
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance* (3)=(1)-(2)	*Appropriation 2016* (4)=(1)	*Total requirements* (5)	*Non-recurrent requirements* (6)	*Variance (2017-2016)* (7)=(5)-(4)	*Net requirements for 2017*[a] (8)=(5)-(3)
Civilian personnel costs	508.6	473.5	35.1	508.6	490.1	–	(18.5)	455.0
Operational costs	1 757.1	1 757.1	–	1 757.1	1 757.1	–	–	1 757.1
Total	**2 265.7**	**2 230.6**	**35.1**	**2 265.7**	**2 247.2**	**–**	**(18.5)**	**2 212.1**

[a] Net requirements after taking into account the estimated underexpenditures or overexpenditures for 2016.

Table 5
Positions

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Sub-total***	*Field Security Service*	*General Service*	***Total international***	*National Professional Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2016	–	–	–	–	–	–	1	–	**1**	–	1	**2**	–	5	–	**7**
Proposed 2017	–	–	–	–	–	–	1	–	**1**	–	1	**2**	–	5	–	**7**
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

12. The anticipated unencumbered balance in 2016 is due mainly to the four-month vacancy of the position of Research Assistant (General Service (Other level)).

13. The estimated requirements for 2017 amount to $2,247,200 (net of staff assessment). That amount would provide for salaries and common staff costs for the continuation of seven positions (1 P-3, 1 General Service (Other level) and 5 Local level) to provide substantive and administrative support to the experts of the Group ($428,000); charges pertaining to three Security Officers to provide security services and escort to the experts ($62,100); expert fees ($1,142,400) and official travel ($380,300) of the eight members of the Group; official travel of staff ($37,800); and other operational and logistical support requirements, such as the rental of premises, the rental of vehicles, communications, information technology equipment and maintenance, and miscellaneous supplies and services ($196,600).

14. No change is proposed for 2017 to the approved staffing structure of the Monitoring Group on Somalia and Eritrea.

15. The variance between the 2017 requirements and the 2016 approved budget is due mainly to the provision for salaries at the actual average step in grade and dependency status of the current incumbents, and the ratio of actual common staff costs expenditures to actual salaries based on expenditure trends.

Extrabudgetary resources

16. No extrabudgetary resources were available in 2016 or are projected for the Monitoring Group on Somalia and Eritrea for 2017.

B. Group of Experts on the Democratic Republic of the Congo

($1,231,300)

Background, mandate and objective

17. The Group of Experts on the Democratic Republic of the Congo was established by the Security Council in its resolution 1533 (2004). The mandate of the Group has been subsequently extended by the Council a number of times, most recently by its resolution 2293 (2016), until 1 August 2017.

18. The Group of Experts, when first established, was composed of five members, and in 2010, in its resolution 1952 (2010), the Council added a sixth expert. The

Group, which is home-based, is composed of a Coordinator (also one of two armed groups experts) and five experts, in the areas of arms, armed groups, natural resources/finance (two experts) and humanitarian issues. The Group monitors an arms embargo (on all non-governmental entities and individuals operating in the territory of the Democratic Republic of the Congo), a travel ban and an assets freeze. The Group reports to the Security Council through its Committee established pursuant to resolution 1533 (2004) concerning the Democratic Republic of the Congo. The Group is mandated to undertake the following tasks in accordance with paragraph 9 of resolution 2293 (2016):

(a) To assist the Committee in carrying out its mandate, including by providing the Committee with information relevant to the potential designation of individuals and entities that may be engaging in the activities described in paragraph 7 of resolution 2293 (2016);

(b) To gather, examine and analyse information regarding the implementation, with a focus on incidents of non-compliance, of the measures decided by the Council in its resolution 2293 (2016);

(c) To consider and recommend, where appropriate, ways of improving the capabilities of Member States, in particular those in the region, to ensure that the measures imposed by the Council in its resolution 2293 (2016) are effectively implemented;

(d) To gather, examine and analyse information regarding the regional and international support networks to armed groups and criminal networks in the Democratic Republic of the Congo;

(e) To gather, examine and analyse information regarding the supply, sale or transfer of arms, related materiel and related military assistance, including through illicit trafficking networks and the transfer of arms and related materiel to armed groups from the security forces of the Democratic Republic of the Congo;

(f) To gather, examine and analyse information regarding perpetrators of serious violations of international humanitarian law and human rights violations and abuses, including those within the security forces, in the Democratic Republic of the Congo;

(g) To evaluate the impact of minerals traceability referred to in paragraph 24 of resolution 2293 (2016) and continue collaboration with other forums;

(h) To assist the Committee in refining and updating information on the list of individuals and entities subject to the measures imposed by the Council in its resolution 2293 (2016).

Cooperation with other entities

19. The Group of Experts on the Democratic Republic of the Congo works closely with the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO), which was mandated by the Security Council to monitor the implementation of the arms embargo and to exchange information with the Group. Apart from substantive collaboration with MONUSCO, the Group benefits from administrative synergies with the Mission, which assists the Group by providing it with office space in Goma and Bukavu, ground and air transportation and an armed escort for special field missions in the Democratic Republic of the Congo.

20. In addition, the Group of Experts cooperates with relevant States and regional actors. In that connection, the Group maintains liaison with a number of countries in Europe and the region and with organizations, such as the International Conference on the Great Lakes Region, to collect, analyse and verify information on individuals and entities in relation to its mandate. The Group also cooperates with officials of the Government of the Democratic Republic of the Congo and the Permanent Representative of the Democratic Republic of the Congo to the United Nations, as well as numerous provincial and local authorities.

21. In carrying out its mandate, the Group of Experts cooperates with other sanctions monitoring teams, groups and panels, as mandated and appropriate. In addition, the Group collaborates with the Special Envoy of the Secretary-General to the Great Lakes Region and with other agencies of the United Nations system.

Performance information

22. On the basis of the reports of the Group of Experts, the Security Council was able to take informed decisions in terms of addressing the current situation in the Democratic Republic of the Congo and refining the sanctions regime. The Group's findings and recommendations contained in its final report (S/2016/466) were taken into consideration by the Council in resolution 2293 (2016) on the extension of the sanctions regime and the Group's mandate.

Table 6
Performance information for 2016

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• The Group of Experts maintained a constant presence in the country and the region, and travelled to certain areas of interest for its mandate, in particular to the provinces of North and South Kivu, and Ituri. The Group investigated thoroughly all aspects relating to the arms embargo, including all possible links between the exploitation of natural resources and the purchase of arms and related materiel in violation of the sanctions regime
	• The Group of Experts provided the Committee with an exhaustive analysis of the implementation of the sanctions regime in the Democratic Republic of the Congo, including a list of stakeholders involved in the investigation activities of the Group
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• The Group of Experts highlighted key trends and events with regard to the implementation of due diligence in the tin, tantalum and tungsten sectors in the Democratic Republic of the Congo and at the regional and international levels. The Group also highlighted the role of gold and ivory trade in the financing of illegal armed groups. It provided the Committee with an exhaustive analysis of the implementation of the sanctions regime in the Democratic Republic of the Congo, including recommendations on possible developments and adjustments to be considered
(c) Improved compliance by States and other entities with the sanctions measures	• The Group of Experts continued to inform and provide support to the Government of the Democratic Republic of the Congo on the implementation of the sanctions regime

Expected accomplishments	Actual results, with a focus on major indicators of achievement
	• The Group of Experts maintained contacts with many States of the region in order to discuss and receive updates on the implementation and enforcement of the sanctions measures imposed on the Democratic Republic of the Congo
	• Member States communicated to the Committee measures taken for the implementation of the sanctions regime imposed on the Democratic Republic of the Congo, including notifications of the export to the Democratic Republic of the Congo of military equipment and related materiel

Planning assumptions for 2017

23. In 2017, the Group of Experts on the Democratic Republic of the Congo will collect information on the implementation by States of the measures imposed by the Security Council; investigate and analyse information regarding the flow of arms and the operation of networks in violation of relevant measures imposed by the Council; and make recommendations for consideration by the Council on future action to be taken, including on individuals and entities that meet the designation criteria. The Group will also continue to evaluate the implementation of due diligence guidelines for importers, processing industries and consumers of Congolese mineral products, and investigate individuals or entities that provide support to armed groups in the Democratic Republic of the Congo through illicit trade of natural resources, including gold or wildlife and wildlife products.

24. The objective, expected accomplishments, indicators of achievement and performance measures of the Group of Experts are set out in table 7.

Table 7
Objectives, expected accomplishments, indicators of achievement and performance measures

Objective of the Organization: To ensure the full implementation of Security Council resolution 1533 (2004) and all subsequent related decisions of the Council in connection with the arms embargo on non-governmental entities and individuals in the Democratic Republic of the Congo, including indirect support to such entities and individuals through the exploitation and trafficking of natural resources

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(i) Number of official communications from the Committee to States or other entities on alleged violations cited by the Group of Experts	Target	20	40	15
		Estimate		20	35
		Actual			22

Outputs

- Reports to the Security Council (2)
- Updates to the Committee on the activities of the Group (8)

Expected accomplishment	*Indicators of achievement*		*Performance measures* 2017	2016	2015
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(i) Number of recommendations made by the Group of Experts agreed upon by the Committee	Target	20	20	25
		Estimate		15	20
		Actual			22
	(ii) Number of recommendations by the Group of Experts incorporated by the Security Council into subsequent resolutions	Target	1	2	2
		Estimate		1	2
		Actual			0
	(iii) Number of amendments to entries on the Committee's sanctions list	Target	20	30	5
		Estimate		10	30
		Actual			27

Outputs

- Recommendations on adjustments to the sanctions regime (3)
- Recommendations concerning new individuals or entities to be listed or updates to the existing sanctions list (25)

Expected accomplishment	*Indicators of achievement*		*Performance measures* 2017	2016	2015
(c) Improved compliance by States and other entities with the sanctions measures	(i) Number of communications from States and other entities informing of compliance-related issues	Target	20	40	55
		Estimate		20	40
		Actual			21
	(ii) Number of laws or decrees adopted by States to implement sanctions measures	Target	1	4	4
		Estimate		1	4
		Actual			0

Outputs

- Communications to States and other entities requesting action or updates relating to compliance with the sanctions measures (15)
- Investigative reports on the compliance of States and other entities with the sanctions regime (7)

External factors

25. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Group of Experts, and provided that the Group's investigations are not hindered.

Resource requirements (regular budget)

Table 8
Financial resources

(Thousands of United States dollars)

	1 January-31 December 2016			*Requirements for 1 January-31 December 2017*				
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance* (3)=(1)-(2)	*Appropriation 2016* (4)=(1)	*Total requirements* (5)	*Non-recurrent requirements* (6)	*Variance (2017-2016)* (7)=(5)-(4)	*Net requirements for 2017*[a] (8)=(5)-(3)
Civilian personnel costs	207.5	175.3	32.2	207.5	168.6	–	(38.9)	136.4
Operational costs	1 062.7	1 062.7	–	1 062.7	1 062.7	–	–	1 062.7
Total	**1 270.2**	**1 238.0**	**32.2**	**1 270.2**	**1 231.3**	**–**	**(38.9)**	**1 199.1**

[a] Net requirements after taking into account the estimated underexpenditures or overexpenditures for 2016.

Table 9
Positions

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Sub-total***	*Field Security Service*	*General Service*	***Total international***	*National Professional Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2016	–	–	–	–	–	–	1	–	**1**	–	–	**1**	–	–	–	**1**
Proposed 2017	–	–	–	–	–	–	1	–	**1**	–	–	**1**	–	–	–	**1**
Change	–	–	–	–	–	–	–	–	**–**	**–**	**–**	**–**	**–**	**–**	**–**	**–**

26. The anticipated unencumbered balance in 2016 is due to the cost of entitlements for the incumbent of the position being lower than budgeted.

27. The estimated requirements for 2017 amount to $1,231,300 (net of staff assessment). That amount would provide for salaries and common staff costs for one P-3 position to provide substantive backstopping and support to the members of the Group ($168,600); expert fees ($596,500) and official travel ($320,100) of the six members of the Group; official travel of staff ($30,000); and other operational and logistical support requirements, such as the rental of premises, the rental of vehicles, communications, information technology equipment and maintenance, and miscellaneous supplies and services ($116,100).

28. No change is proposed for 2017 to the approved staffing structure of the Group of Experts on the Democratic Republic of the Congo.

29. The variance between the 2017 requirements and the 2016 approved budget is due mainly to the provision for salaries at the actual average step in grade and dependency status of the current incumbent, and the ratio of actual common staff costs expenditures to actual salaries, based on expenditure trends.

Extrabudgetary resources

30. No extrabudgetary resources were available in 2016 or are projected for the Group of Experts on the Democratic Republic of the Congo for 2017.

C. Panel of Experts on the Sudan

($1,101,600)

Background, mandate and objective

31. The Panel of Experts on the Sudan was established by the Security Council in its resolution 1591 (2005). The mandate of the Panel has been subsequently extended by the Council a number of times, most recently by resolution 2265 (2016), until 12 March 2017.

32. The Panel, when first established, was composed of four members and based in Addis Ababa. In 2006, the Security Council, in its resolution 1713 (2006), added a fifth expert to the Panel, and in 2012 the duty station of the experts was changed from Addis Ababa to home base. The Panel of Experts comprises a Coordinator (also the finance expert) and four other experts, in the areas of arms, aviation, international humanitarian law and regional issues. The Panel monitors an arms embargo, a travel ban and an assets freeze. It also conducts investigations on any offensive military overflights, violations of international humanitarian law and human rights and sources of financing of the armed opposition groups. The Panel also looks at progress towards removing impediments to the peace process. The Panel reports to the Council through its Committee established pursuant to resolution 1591 (2005) concerning the Sudan. The Panel is mandated to undertake the following tasks in accordance with paragraphs 3 (b) and (c) of resolution 1591 (2005) and paragraphs 2, 3, 4, 15, 18, 23 and 24 of resolution 2265 (2016):

(a) To assist the Security Council Committee in monitoring the implementation of the measures in paragraphs 3 (d), 3 (e) and 7 of resolution 1591 (2005) and paragraphs 7 and 8 of resolution 1556 (2004), namely, the travel ban, the assets freeze and the arms embargo, and to make recommendations to the Committee on actions the Council may want to consider;

(b) To provide a midterm update on its work to the Committee and a final report no later than 13 January 2017 to the Council with its findings and recommendations;

(c) To provide updates every three months to the Committee regarding its activities, including its travel, the implementation and effectiveness of paragraph 10 of Council resolution 1945 (2010), any obstacles encountered in the fulfilment of its mandate and any violations of any part of the sanctions regime;

(d) In coordination with the Joint African Union/United Nations Mediation, to provide to the Committee when appropriate the names of any individuals, groups or entities that may meet the listing criteria;

(e) To continue to investigate the financing and role of armed, military and political groups in attacks against United Nations/African Union Hybrid Operation in Darfur (UNAMID) personnel in Darfur;

(f) To continue to coordinate its activities, as appropriate, with the operations of UNAMID, with international efforts to promote a political process in Darfur and with other panels or groups of experts established by the Security Council, as relevant to the implementation of its mandate;

(g) To assess, in its midterm update and final report, progress achieved towards reducing violations by all parties of the measures imposed by the Council in paragraphs 7 and 8 of its resolution 1556 (2005), paragraph 7 of its resolution 1591 (2005) and paragraph 10 of its resolution 1945 (2010); progress achieved towards removing impediments to the political process; threats to stability in Darfur and the region; violations of international humanitarian law or violations or abuses of human rights, including those that involve attacks on the civilian population, sexual and gender-based violence and violations and abuses against children; and other violations of the above-mentioned resolutions, and to provide the Committee with information on the individuals and entities that meet the listing criteria set out in paragraph 3 (c) of resolution 1591 (2005).

Cooperation with other entities

33. In carrying out its mandate, the Panel of Experts on the Sudan cooperates with other sanctions monitoring teams, groups and panels, as mandated and appropriate. It also cooperates with national, regional and international actors, civil society organizations and private sector entities. In addition, it interacts with research institutions and private companies that supply arms or related materiel.

34. The Panel of Experts also works closely with the Department of Peacekeeping Operations, the Office of the Special Representative of the Secretary-General for Children and Armed Conflict and the Office of the Special Representative of the Secretary-General on Sexual Violence in Conflict, and with United Nations-led field missions and offices in the region. UNAMID provides the Panel with reports and substantive briefings, operational support and security while on mission in Darfur. In addition, the Panel cooperates with INTERPOL.

Performance information

35. The findings and recommendations of the Panel, as contained in its final report under resolution 2200 (2015), as well as in its quarterly update, have assisted the Council in gaining a more comprehensive understanding of the conflict in Darfur; the transfer of arms and related materiel into Darfur; the transfer and use of military aircraft in Darfur; and the financing and movement of the Darfurian armed groups. They have also provided the Council with a detailed understanding of the underlying factors for the attacks against civilians, peacekeepers and humanitarian actors in Darfur.

Table 10
Performance information for 2016

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• The Panel made recommendations in its final report for 2016 for the designation of three individuals and one entity, based on its investigations into violations of international humanitarian law in Darfur

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• The Security Council, in the light of the final report of the Panel, discussed the possibility of adjusting the sanctions regime imposed on the Sudan
(c) Improved compliance by States and other entities with the sanctions measures	• In the course of the field visits of the Panel and in the written communications issued to the Sudan and to other Member States, the Panel continued to provide information on the sanctions regime and on compliance with the sanctions measures
	• The Panel maintained contact with the relevant Member States within and outside the region on issues relating to the implementation of and compliance with the sanctions measures
	• On the basis of a recommendation of the Panel contained in its final report for 2016, the Committee dispatched a note verbale to all Member States encouraging them to submit certain additional information on designated individuals that could help better enforce the travel ban measure

Planning assumptions for 2017

36. In 2017, the Panel of Experts on the Sudan will continue to collect information on the implementation by States of the measures imposed by the Security Council and on possible violations, make recommendations to the Committee on future action that the Council may wish to consider, and coordinate its activities with UNAMID and with international efforts to promote the political process in Darfur. The Panel will also continue to serve as a source of information on individuals and entities that, on the basis of the criteria contained in resolution 1591 (2005) and updated by the Council in its resolution 2035 (2012), could possibly be designated as subject to the travel ban and assets freeze.

37. The objective, expected accomplishments, indicators of achievement and performance measures of the Panel of Experts are set out in table 11.

Table 11
Objectives, expected accomplishments, indicators of achievement and performance measures

Objective of the Organization: To ensure the enforcement of the sanctions measures imposed by Security Council resolutions 1556 (2004) and 1591 (2005), as updated in resolutions 1945 (2010) and 2035 (2012)

			Performance measures		
Expected accomplishment	*Indicators of achievement*		*2017*	*2016*	*2015*
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(i) Number of official communications from the Security Council Committee to States and other entities on alleged violations cited by the Panel of Experts	Target	2	2	3
		Estimate		2	2
		Actual			4

Outputs

- Reports to the Security Council (1)
- Updates to the Committee on the activities of the Panel (5)

Expected accomplishment	Indicators of achievement		Performance measures 2017	2016	2015
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(i) Number of recommendations made by the Panel of Experts agreed upon by the Committee	Target	6	4	4
		Estimate		7	5
		Actual			7
	(ii) Number of recommendations incorporated by the Security Council into subsequent resolutions	Target	2	2	3
		Estimate		0	2
		Actual			1

Outputs

- Recommendations on adjustments to the sanctions regimes (3)
- Recommendations on new individuals or entities to be listed or updates to the existing sanctions list (2)

Expected accomplishment	Indicators of achievement		Performance measures 2017	2016	2015
(c) Improved compliance by States and other entities with the sanctions measures	(i) Number of communications from States and other entities informing of compliance-related issues	Target	50	60	35
		Estimate		45	60
		Actual			66

Outputs

- Communications to States and other entities requesting action or updates relating to compliance with the sanctions measures (130)

External factors

38. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts on the Sudan, and provided that the activities of the Panel are not hindered.

Resource requirements (regular budget)

Table 12
Financial resources
(Thousands of United States dollars)

	1 January-31 December 2016				Requirements for 1 January-31 December 2017			
Category	Appropriation (1)	Estimated expenditure (2)	Variance (3)=(1)-(2)	Appropriation 2016 (4)=(1)	Total requirements (5)	Non-recurrent requirements (6)	Variance (2017-2016) (7)=(5)-(4)	Net requirements for 2017[a] (8)=(5)-(3)
Civilian personnel costs	178.8	135.7	43.1	178.8	200.3	–	21.5	157.2
Operational costs	901.3	730.8	170.5	901.3	901.3	–	–	730.8
Total	**1 080.1**	**866.5**	**213.6**	**1 080.1**	**1 101.6**	**–**	**21.5**	**888.0**

[a] Net requirements after taking into account the estimated underexpenditures or overexpenditures for 2016.

Table 13
Positions

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field Security Service*	*General Service*	***Total international***	*National Professional Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2016	–	–	–	–	–	–	1	–	1	–	–	1	–	–	–	1
Proposed 2017	–	–	–	–	–	–	1	–	1	–	–	1	–	–	–	1
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

39. The anticipated unencumbered balance for 2016 is due mainly to the three-person-month vacancy of each of the five experts following the renewal of the mandate in 2016 and the one month vacancy of the position of Political Affairs Officer (P-3).

40. The estimated requirements for 2017 amount to $1,101,600 (net of staff assessment). That amount would provide for salaries and common staff costs for one P-3 position to provide substantive backstopping and support to the members of the Panel ($200,300); expert fees ($570,000) and official travel ($243,000) of the five members of the Panel; official travel of staff ($30,200); and other operational and logistical support requirements, such as the rental of premises, the rental of vehicles, communications, information technology equipment and maintenance and miscellaneous supplies and services ($58,100).

41. No change is proposed for 2017 to the approved staffing structure of the Panel of Experts on the Sudan.

42. The variance between the 2017 requirements and the 2016 approved budget is due mainly to the provision for salaries at the actual step in grade and dependency status of the current incumbent, and the ratio of actual common staff costs expenditures to actual salaries, based on expenditure trends.

Extrabudgetary resources

43. No extrabudgetary resources were available in 2016, nor are any projected for the Panel of Experts on the Sudan for 2017.

D. Panel of Experts on the Democratic People's Republic of Korea

($2,524,400)

Background, mandate and objective

44. The Panel of Experts on the Democratic People's Republic of Korea was established pursuant to Security Council resolution 1874 (2009). The mandate of the Panel has been subsequently extended by the Council a number of times, most recently by resolution 2276 (2016), until 24 April 2017.

45. The Panel, when first established, was composed of seven members and based in New York. In 2013, the Council adopted its resolutions 2087 (2013) and 2094

(2013), which broadened the scope of the sanctions measures and added an expert to the Panel to monitor cargo and air inspections and the related transfers of aircraft and vessels of the Democratic People's Republic of Korea to other companies undertaken in violation of the relevant resolutions or to evade the sanctions. In 2016, the Council adopted its resolution 2270 (2016), which imposed additional measures, including an expanded arms embargo and non-proliferation measures; a new cargo inspection and maritime procedures; financial measures; sectoral sanctions (coal, minerals and fuel ban); a ban on the hosting of trainers, advisers or other officials from the Democratic People's Republic of Korea for police, paramilitary and military training; the expelling of diplomats and foreign nationals from the Democratic Republic of Korea involved in illicit activities; and a travel ban and assets freeze. The Panel of Experts comprises a Coordinator (also the air transport expert) and seven other experts, in the areas of customs and export control, nuclear issues, finance, missile technology, maritime transport, weapons of mass destruction arms control and non-proliferation policy, and other weapons of mass destruction and conventional arms. The Panel reports to the Security Council through its Committee established pursuant to resolution 1718 (2006). The Panel is mandated to undertake the following tasks in accordance with resolutions 1874 (2009), 1928 (2010), 1985 (2011), 2050 (2012), 2094 (2013), 2141 (2014), 2207 (2015) and 2276 (2016), inter alia:

(a) To assist the Security Council Committee in carrying out its mandate as specified in resolution 1718 (2006) and the functions specified in paragraph 25 of resolution 1874 (2009);

(b) To gather, examine and analyse information from States, relevant United Nations bodies and other interested parties regarding the implementation of the measures imposed in resolutions 1718 (2006) and 1874 (2009), in particular incidents of non-compliance;

(c) To make recommendations on actions that the Council, the Committee or Member States may consider to improve the implementation of the measures imposed by the Council in its resolutions 1718 (2006) and 1874 (2009);

(d) To provide to the Committee a midterm report on its work and submit it to the Council, and to provide a final report to the Committee no later than 1 February 2017 with its findings and recommendations and submit it to the Council no later than 15 March 2017.

Cooperation with other entities

46. The Panel of Experts cooperates with government authorities who have potential information about violations of the sanctions regime. The Panel also provides assistance to such Governments in terms of preparing for and submitting their national implementation reports on the relevant resolutions to the Committee. In the light of resolution 2270 (2016) and its significant measures, the Panel will seek to increase its assistance to and cooperation with various Governments to facilitate better implementation of the relevant resolutions and to seek additional information on these new measures in order to recommend effective implementation.

47. The Panel of Experts also seeks the cooperation and assistance of United Nations bodies, as well as other sanctions monitoring teams, groups and panels, as mandated and appropriate. It also benefits from cooperation with other multilateral

organizations as well as with experts from think tanks and universities. In addition, it has acquired satellite imagery and analysis through the Department of Field Support in order to regularly monitor key and new areas concerning the prohibited programmes of the Democratic Republic of Korea and other bans with respect to that country.

Performance information

48. The major findings and recommendations of the Panel of Experts, contained in its final report pursuant to resolution 2207 (2015) (S/2016/157), may serve to assist the Committee and the Council in taking more informed decisions relating to the sanctions measures. More specifically, the Panel's final report provided 11 recommendations aimed at improving the implementation of the sanctions measures imposed by resolutions 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) and 2270 (2016).

49. The Panel of Experts continued to provide assistance to States in order to improve compliance with the sanctions measures. Through its investigations and communications with States, the Panel provided assistance and attained critical information which led to a better understanding and implementation of the measures. In the light of resolution 2270 (2016) and its expanded measures, the Panel will report on issues regarding sanctions implementation, investigations regarding alleged violations, patterns of sanctions evasions and designated entities and individuals, as well as on expanded and newer measures, including finance, inspections and interdictions, training and sectoral bans.

Table 14
Performance information for 2016

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• The Panel of Experts, acting under the direction of the Committee, undertook physical inspections and conducted investigations • The Panel of Experts continued to prepare incident reports and implementation assistance notices; it also presented its final report (S/2016/157), including recommendations, to the Security Council • The Committee gave direction to and requested the Panel of Experts to provide informal advice and guidance to Member States on compliance-related issues, in particular alleged violations • The Committee noted alleged violations and took appropriate action through additional designations on individuals and/or entities who violated the sanctions measures
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• The Panel of Experts, through its final report and incident reports and recommendations, highlighted significant challenges related to the implementation of the sanctions regime in order to raise the awareness of Member States, the Committee and the Security Council and to bring about subsequent actions by them

Expected accomplishments	Actual results, with a focus on major indicators of achievement
	• The Panel of Experts continued to review the sanctions list of designated individuals and entities, as well as the lists of prohibited items, materiel, equipment, goods and technology, and made specific recommendations to the Committee
	• The Committee, based on the Panel's reports and Member States national implementation reports, considered adjustments to make the sanctions measures more effective and implementable
	• The Committee gave direction and guidance as requested by Member States on implementation-related issues, in particular, guidance on exemptions, definitions and application of the sanctions measures
(c) Improved compliance by States and other entities with the sanctions measures	• In accordance with their obligations under the relevant Security Council resolutions, Member States provided reports and communications on implementation and compliance-related issues to the Committee and the Panel of Experts
	• In accordance with their obligations under the relevant Security Council resolutions, Member States submitted their national implementation reports in a timely manner
	• The Panel of Experts participated in outreach events, made country visits upon request for information-sharing and provided technical assistance in implementing the relevant measures and for the purpose of furthering the Committee's mandate, as set forth in relevant Security Council resolutions
	• On behalf of the Committee, the Panel also took follow-up actions with concerned States on reported violations, with a view to obtaining information clarifying the background and circumstances of the violations, and to identify patterns of sanctions evasion

Planning assumptions for 2017

50. In 2017, the Panel of Experts on the Democratic People's Republic of Korea will continue to carry out its mandated activities and monitor the implementation of the measures imposed by the Security Council in its resolutions. In the light of resolution 2270 (2016) and its expanded measures, the Panel will continue to collect information and monitor the implementation of the measures, conduct extensive fieldwork and investigations of reported alleged violations, analyse patterns of sanctions evasions and make appropriate recommendations. Further analytical and research work will be required regarding inspections and interdictions (air, sea and ports) and monitoring of the sectoral bans (coal and minerals, jet, rocket and aviation fuel). The Panel will increase its monitoring and analysis of proliferation networks, designated entities/individuals, financial measures, specialized teaching and training, as well as the existing assets freeze and travel ban measures. It will submit to the Committee regular reports on its analysis and recommendations, and submit an interim and a final report on its activities with recommendations to the Council.

51. The objective, expected accomplishments, indicators of achievement and performance measures of the Panel of Experts are set out in table 15.

Table 15
Objectives, expected accomplishments, indicators of achievement and performance measures

Objective of the Organization: To ensure that the Democratic People's Republic of Korea abandons all nuclear weapons and its existing nuclear programme and acts strictly in accordance with the obligations applicable to parties under the Treaty on the Non-Proliferation of Nuclear Weapons and the terms and conditions of the International Atomic Energy Agency Safeguards Agreement

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(i) Number of official communications from the Committee to States and other entities on alleged violations cited by the Panel of Experts	Target	30	25	10
		Estimate		35	20
		Actual			33

Outputs

- Reports to the Security Council (2)
- Open briefings to Member States on the implementation of the measures imposed by the Council (2)

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(i) Number of recommendations made by the Panel of Experts agreed upon by the Committee	Target	6	3	3
		Estimate		0	1
		Actual			0
	(ii) Number of recommendations incorporated by the Security Council into subsequent resolutions	Target	1	1	3
		Estimate		6	0
		Actual			3
	(iii) Number of amendments to entries on the consolidated list of designated individuals and entities	Target	10	5	4
		Estimate		5	3
		Actual			0

Outputs

- Recommendations on adjustments to the sanctions regime (4)
- Recommendations concerning new individuals or entities to be listed or updates to the existing consolidated list (5)

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(c) Improved compliance by States and other entities with the sanctions measures	(i) Number of communications from States and other entities informing of compliance-related issues	Target	8	3	5
		Estimate		6	2
		Actual			3
	(ii) Number of communications from States and other entities seeking advice on how to comply with the measures	Target	5	6	10
		Estimate		6	5
		Actual			3

Outputs

- Number of consultations held with States on the implementation of the Security Council's sanctions measures, especially resolution 2270 (2016), both informally and formally (10)
- Communications to States and other entities requesting action or updates relating to compliance with the sanctions measures (5)
- Implementation assistance notices and discussion papers on good practices and technical assistance (6)
- Outreach events to facilitate the implementation of the sanctions regime (3)
- Investigative reports on the compliance of States and other entities with the sanctions regime (8)

External factors

52. The objective would be achieved on the assumption that States fully comply with the resolutions of the Security Council and cooperate with the Panel of Experts, and provided that the investigations of the Panel are not hindered.

Resource requirements (regular budget)

Table 16
Financial resources
(Thousands of United States dollars)

	1 January-31 December 2016			*Requirements for 1 January-31 December 2017*				
Category	*Appropriation (1)*	*Estimated expenditure (2)*	*Variance (3)=(1)-(2)*	*Appropriation 2016 (4)=(1)*	*Total requirements (5)*	*Non-recurrent requirements (6)*	*Variance (2017-2016) (7)=(5)-(4)*	*Net requirements for 2017[a] (8)=(5)-(3)*
Civilian personnel costs	454.8	454.0	0.8	454.8	462.7	–	7.9	461.9
Operational costs	2 144.9	2 060.5	84.4	2 144.9	2 061.7	–	(83.2)	1 977.3
Total	**2 599.7**	**2 514.5**	**85.2**	**2 599.7**	**2 524.4**	**–**	**(75.3)**	**2 439.2**

[a] Net requirements after taking into account the estimated underexpenditures or overexpenditures for 2016.

Table 17
Positions

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field Security Service*	*General Service*	***Total international***	*National Professional Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2016	–	–	–	–	–	–	2	–	**2**	–	2	**4**	–	–	–	**4**
Proposed 2017	–	–	–	–	–	–	2	–	**2**	–	2	**4**	–	–	–	**4**
Change	–	–	–	–	–	–	–	–	**–**	–	–	**–**	–	–	–	**–**

53. The anticipated unencumbered balance for 2016 is due mainly to the lower average fees of the experts as the composition of the Panel changes, changes in travel destinations for staff resulting in slightly lower costs, and the actual cost of entitlements of the incumbents of the positions being lower than budgeted.

54. The estimated requirements for 2017 amount to $2,524,400 (net of staff assessment). That amount would provide for salaries and common staff costs for four positions (2 P-3 and 2 General Service (Other level)) to provide substantive and administrative support to the members of the Panel ($462,700); expert fees ($1,550,400) and official travel ($156,100) of the eight members of the Panel; official travel of staff ($61,100); facilities and infrastructure, including the rental of premises ($255,200); and other operational and logistical support requirements, such as the rental of vehicles, communications, information technology equipment and maintenance, and miscellaneous supplies and services ($38,900).

55. No change is proposed for 2017 to the approved staffing structure of the Panel of Experts on the Democratic People's Republic of Korea.

56. The variance between the 2017 requirements and the 2016 approved budget is due mainly to the lower average fees of the experts as the composition of the Panel changes, as well as changes in travel destinations of staff resulting in slightly lower costs, which are offset in part by the provision for salaries at the actual average step in grade and dependency status of the current incumbents, and the ratio of actual common staff costs expenditures to actual salaries, based on expenditure trends.

Extrabudgetary resources

57. No extrabudgetary resources were available in 2016, nor are any projected for the Panel of Experts on the Democratic People's Republic of Korea for 2017.

E. Panel of Experts on Libya

($1,327,400)

Background, mandate and objective

58. The Panel of Experts on Libya was established by the Security Council in its resolution 1973 (2011). The mandate of the Panel has been subsequently extended by the Council a number of times, most recently by resolution 2278 (2016), until 31 July 2017. The Panel, when first established, was composed of eight members. In 2012, the Council, in its resolution 2040 (2012), reduced the number of members to five, and in 2014, in its resolution 2146 (2014), it added a sixth expert. The Panel monitors an arms embargo and corresponding enforcement measures, a travel ban, an assets freeze and measures in relation to attempts to illicitly export crude oil from Libya. The Panel, which is home-based, comprises a Coordinator (also the finance expert) and five other experts, in the areas of armed groups/regional issues, armed groups, maritime/transport, and arms (two experts). The Panel reports to the Security Council through its Committee established pursuant to resolution 1970 (2011) concerning Libya. The Panel is mandated to undertake the following tasks in accordance with paragraph 24 of resolution 2213 (2015) and paragraph 13 of resolution 2278 (2016):

(a) To assist the Committee in carrying out its mandate as specified in paragraph 24 of resolution 1970 (2011) and modified in resolutions 2146 (2014), 2174 (2014) and 2213 (2015);

(b) To gather, examine and analyse information from States, relevant United Nations bodies, regional organizations and other interested parties regarding the

implementation of the measures decided in resolutions 1970 (2011), 1973 (2011), 2146 (2014) and 2174 (2014) and modified in resolutions 2009 (2011), 2040 (2012), 2095 (2013), 2144 (2014) and 2213 (2015), in particular incidents of non-compliance;

(c) To make recommendations on actions that the Council, the Committee, the Government of Libya or other States may consider to improve the implementation of the relevant measures;

(d) To provide to the Council an interim report on its work no later than 180 days after the Panel's appointment and a final report to the Council, after discussion with the Committee, no later than 15 June 2017 with its findings and recommendations.

Cooperation with other entities

59. The Panel of Experts on Libya works closely with the United Nations Support Mission in Libya (UNSMIL). In carrying out its mandate, the Panel of Experts cooperates with other sanctions monitoring teams, groups and panels, as mandated and appropriate. In addition, the Panel of Experts cooperates with Member States (in particular those in the region), regional organizations or arrangements and other international organizations, such as the World Bank, the International Monetary Fund, INTERPOL, the International Criminal Court, and civil society and non-governmental organizations.

Performance information

60. The findings of the Panel of Experts as set out in its reports, including its final report (S/2016/209), provided the Committee with new information relating to the sanctions regime. Pursuant to the recommendations of the Panel, the Committee issued an implementation assistance notice on the travel ban measure and notes verbales to all Member States, addressed letters to Member States and entities directing their attention to relevant findings in the Panel's report, updated its sanctions list and held a joint meeting with another committee, and its Chair held a bilateral meeting with a Member State. On the basis of the Panel's recommendations, the Security Council was able to take informed decisions in terms of addressing the situation in Libya by refining the sanctions regime in its resolution 2278 (2016).

61. With regard to the individuals on the Committee's sanctions list, the Panel of Experts kept the Security Council updated on possible violations for its action, as appropriate.

Table 18
Performance information for 2016

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• The Panel provided the Committee with updates concerning specific cases of arms transfers about which the Committee had been notified, including cases in which the transfer did not reach the indicated end user • The Panel provided the Committee with inputs concerning the compliance of Member States, individuals and entities with the sanctions regime

Expected accomplishments	Actual results, with a focus on major indicators of achievement
	• The Panel provided the Committee with specific cases of alleged violations of the assets freeze, travel ban and arms embargo measures, and thereby laid the basis for future engagement by the Committee with Member States
	• The Panel provided the Committee with inputs on a vessel that was allegedly illicitly exporting crude oil from Libya, which enabled the Committee to include additional identifiers in the listing of the vessel
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• The Panel provided the Committee with an exhaustive analysis of the implementation of the sanctions regime on Libya, including recommendations on possible developments and adjustments to be considered by members of the Security Council
	• The Panel provided the Committee with updated information regarding entries on its list of individuals and entities, on the basis of which the Committee updated its sanctions list
	• The Panel assisted the Committee in drafting and updating implementation assistance notices addressed to Member States
(c) Improved compliance by States and other entities with the sanctions measures	• The Panel of Experts maintained contacts with many States within and outside the region, to discuss and receive updates on the implementation and enforcement of the measures imposed in relation to Libya. The Panel also undertook country missions to investigate and provide advice on the compliance of Member States, individuals and entities with the sanctions regime
	• The Committee and the Panel of Experts received communications seeking advice on ways to improve compliance. The Panel provided its inputs, as appropriate
	• The Panel of Experts frequently interacted with the Government of Libya to improve the implementation of the arms embargo, the assets freeze and the measures related to attempts to illicitly export crude oil from Libya

Planning assumptions for 2017

62. In 2017, the Panel of Experts on Libya will continue to carry out its mandated activities, in particular by monitoring the implementation of the relevant measures specified in resolutions 1970 (2011) and 1973 (2011), as updated in resolutions 2009 (2011), 2040 (2012), 2095 (2013), 2144 (2014) and 2174 (2014) and as expanded in resolution 2146 (2014). The Panel will collect information on and monitor the implementation by States of the measures imposed by the Security Council. The Panel will also continue to conduct extensive fieldwork and on-site investigation of reported alleged violations and make appropriate recommendations. Moreover, it will submit an interim and a final report on its activities to the Council that will include specific recommendations.

63. The objective, expected accomplishments, indicators of achievement and performance measures of the Panel of Experts are set out in table 19.

Table 19
Objectives, expected accomplishments, indicators of achievement and performance measures

Objective of the Organization: To enforce the relevant measures contained in Security Council resolutions 1970 (2011), 1973 (2011) and 2146 (2014), as updated in resolutions 2009 (2011), 2040 (2012), 2095 (2013) and 2174 (2014) pertaining to Libya

			Performance measures		
Expected accomplishment	*Indicators of achievement*		*2017*	*2016*	*2015*
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(i) Number of official communications from the Security Council Committee to States and other entities on alleged violations cited by the Panel of Experts	Target	2	2	2
		Estimate		2	2
		Actual			2

Outputs

- Reports to the Security Council (2)
- Investigative reports on violations of the sanctions regime (2)

			Performance measures		
Expected accomplishment	*Indicators of achievement*		*2017*	*2016*	*2015*
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(i) Number of recommendations made by the Panel of Experts agreed upon by the Committee	Target	12	11	6
		Estimate		13	11
		Actual			12
	(ii) Number of recommendations incorporated by the Security Council into subsequent resolutions	Target	2	1	2
		Estimate		3	1
		Actual			1

Outputs

- Recommendations on adjustments to the sanctions regime (15)
- Recommendations concerning new individuals or entities to be listed or updates to the existing sanctions list (21)

			Performance measures		
Expected accomplishment	*Indicators of achievement*		*2017*	*2016*	*2015*
(c) Improved compliance by States and other entities with the sanctions measures	(i) Number of communications from States and other entities informing of compliance-related issues	Target	80	80	50
		Estimate		90	90
		Actual			103
	(ii) Number of communications from States and other entities seeking advice on ways to comply with the measures	Target	6	6	10
		Estimate		6	4
		Actual			4

Outputs

- Communications to States and other entities requesting action or updates relating to compliance with the sanctions measures (20)
- Investigative reports into the compliance of States and other entities with the sanctions regime (2)

External factors

64. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts, and provided that the investigations of the Panel are not hindered.

Resource requirements (regular budget)

Table 20
Financial resources
(Thousands of United States dollars)

	1 January-31 December 2016				*Requirements for 1 January-31 December 2017*			
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance* (3)=(1)-(2)	*Appropriation 2016* (4)=(1)	*Total requirements* (5)	*Non-recurrent requirements* (6)	*Variance (2017-2016)* (7)=(5)-(4)	*Net requirements for 2017*[a] (8)=(5)-(3)
Civilian personnel costs	234.6	234.1	0.5	234.6	246.3	–	11.7	245.8
Operational costs	1 125.3	1 037.4	87.9	1 125.3	1 081.1	–	(44.2)	993.2
Total	**1 359.9**	**1 271.5**	**88.4**	**1 359.9**	**1 327.4**	**–**	**(32.5)**	**1 239.0**

[a] Net requirements after taking into account the estimated underexpenditures or overexpenditures for 2016.

Table 21
Positions

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field Security Service*	*General Service*	***Total international***	*National Professional Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2016	–	–	–	–	–	–	1	–	**1**	–	1	**2**	–	–	–	**2**
Proposed 2017	–	–	–	–	–	–	1	–	**1**	–	1	**2**	–	–	–	**2**
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

65. The anticipated unencumbered balance in 2016 is due mainly to the lower average fees of the experts as the composition of the Panel changes, changes in travel destinations for staff resulting in slightly lower costs, and actual costs of entitlements of the incumbents of the positions being lower than budgeted.

66. The estimated requirements for 2017 amount to $1,327,400 (net of staff assessment). That amount would provide for salaries and common staff costs for two positions (1 P-3 and 1 General Service (Other level)) to provide substantive and administrative support to the members of the Panel ($246,300); expert fees ($550,800) and official travel ($400,300) of the six members of the Panel; official travel of staff ($46,500); and other operational and logistical support requirements, such as the rental of premises, the rental of vehicles, communications, information technology equipment and maintenance, and miscellaneous supplies and services ($83,500).

67. No change is proposed for 2017 to the approved staffing structure of the Panel of Experts on Libya.

68. The variance between the 2017 requirements and the 2016 approved budget is due to the lower average fees of the experts as the composition of the Panel changes, which are offset in part by the provision for salaries at the actual average step in grade and dependency status of the current incumbents, and the ratio of actual common staff costs expenditures to salaries, based on expenditure trends, and higher communications charges for the experts when they are in field missions.

Extrabudgetary resources

69. No extrabudgetary resources were available in 2016, nor are any projected for the Panel of Experts on Libya for 2017.

F. Panel of Experts on the Central African Republic

($1,172,000)

Background, mandate and objective

70. The Panel of Experts on the Central African Republic was established by the Security Council in its resolution 2127 (2013). The mandate of the Panel has been subsequently extended by the Council a number of times, most recently by its resolution 2262 (2016), until 28 February 2017.

71. The Panel monitors an arms embargo, as well as an assets freeze and a travel ban. The Panel, which is home-based, comprises a Coordinator (also the finance/natural resources expert) and four experts, in the areas of arms, armed groups, humanitarian and regional issues. The Panel reports to the Security Council through its Committee established pursuant to resolution 2127 (2013) concerning the Central African Republic. The Panel is mandated to undertake the following tasks in accordance with paragraph 23 of resolution 2262 (2016):

(a) To assist the Committee in carrying out its mandate, including by providing the Committee with information relevant to the potential designation at a later stage of individuals and entities that may be engaging in the activities described in paragraphs 12 and 13 of resolution 2262 (2016);

(b) To gather, examine and analyse information from States, relevant United Nations bodies, regional organizations and other interested parties regarding the implementation of the measures decided by the Council, in particular incidents of non-compliance, including to facilitate, upon request by Member States, assistance on capacity-building;

(c) To provide to the Committee a midterm report and a final report to the Council, after discussion with the Committee, by 31 December 2016;

(d) To submit progress updates to the Committee, especially in situations of urgency or as the Panel deems necessary;

(e) To assist the Committee in refining and updating information on the list of individuals and entities designated by the Committee pursuant to the criteria renewed by the Council in paragraphs 11 and 12 of the resolution, including through

the provision of biometric information and additional information for the publicly available narrative summary of reasons for listing;

(f) To assist the Committee by providing information regarding individuals and entities that may meet the designation criteria listed by the Council in paragraphs 11 and 12 of the resolution, including by reporting such information to the Committee as it becomes available, and to include in its formal written reports the names of potential designees, appropriate identifying information and relevant information regarding why the individual or entity may meet the designation criteria;

(g) To cooperate with the Kimberley Process Central African Republic Monitoring Team to support the resumption of exports of rough diamonds from the Central African Republic and report to the Committee if the resumption of trade is destabilizing the Central African Republic or benefiting armed groups.

Cooperation with other entities

72. In carrying out its mandate, the Panel of Experts cooperates with other sanctions monitoring teams, groups and panels, as mandated and appropriate. The Panel also cooperates actively with Member States, including the Central African Republic, its neighbouring States and other member States of the International Conference on the Great Lakes Region. The Panel also cooperates with international, regional and subregional organizations, such as the African Union, the European Union and the Economic Community of Central African States, and with relevant operations in the field, such as the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA) and the African Union Regional Task Force.

Performance information

73. On 28 January 2016, the Panel provided the Committee with a progress update comprising information that it had obtained on the conduct of the elections in the Central African Republic, as well as an update comprising information received since the submission of its final report to the Security Council on 21 December 2015.

.Table 22
Performance information for 2016

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• In its first progress report, submitted to the Committee on 28 January 2016, the Panel of Experts provided an update on its investigations concerning the violations of the travel ban by listed individuals • The Panel also provided information concerning the capacity challenges relating to the adequate storage capacity and security of arms and ammunition seized or collected by MINUSCA • The Panel provided information to the Committee concerning the establishment of parallel administration systems by armed groups. These administrations, in accordance with the designation criteria contained in paragraph 13 (d) of resolution 2262 (2016), set up taxation systems that

Expected accomplishments	Actual results, with a focus on major indicators of achievement
	were directly for the benefit of or support of armed groups. In this connection, the Panel also continued its investigations of private institutions/individuals involved in purchasing natural resources, the proceeds of which could finance armed groups
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• The Panel investigated thoroughly all aspects related to the Central African Republic sanctions regime, including information on the designation of individuals and entities violating the arms embargo, recruiting children, providing support to armed groups through the illicit exploitation of natural resources and committing acts that violate international human rights law, including acts of sexual violence
	• The Panel further provided information concerning the activities of armed group leaders during the elections, including some leaders running in the parliamentary elections, including those on the Committee's sanctions list. Some of these armed group leaders had resorted to intimidation and open threats to their rivals
(c) Improved compliance by States and other entities with the sanctions measures	• As a result of the activities of the Panel, such as writing letters and convening meetings, the awareness of Member States and entities about the various aspects of the sanctions regimes, including the various exemption provisions, has increased

Planning assumptions for 2017

74. In 2017, the Panel of Experts on the Central African Republic will continue to monitor the implementation of the relevant measures imposed by the Security Council. Subject to the security situation, it is expected to carry out extensive field work and on-site investigation of reported alleged violations, and to make recommendations thereon.

75. The objective, expected accomplishments, indicators of achievement and performance measures of the Panel of Experts are set out in table 23.

Table 23
Objectives, expected accomplishments, indicators of achievement and performance measures

Objective of the Organization: To ensure the full implementation of the sanctions measures contained in Security Council resolution 2262 (2016) pertaining to the Central African Republic

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(i) Number of official communications from the Committee to States and other entities on alleged violations cited by the Panel of Experts	Target	11	15	15
		Estimate		11	15
		Actual			1
	(ii) Number of bilateral meetings between the Chair of the Committee and States concerned and organizations to follow up on the report of the Panel of Experts	Target	11	7	7
		Estimate		11	7
		Actual			11

Outputs

- Reports to the Security Council (2)
- Investigative reports on the compliance of States and other entities with the sanctions regime (5)

Expected accomplishment	*Indicators of achievement*		*Performance measures* 2017	2016	2015
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(i) Number of recommendations made by the Panel of Experts agreed upon by the Committee	Target	9	20	20
		Estimate		9	20
		Actual			9
	(ii) Number of recommendations made by the Panel of Experts incorporated by the Security Council into subsequent resolutions	Target	2	2	2
		Estimate		2	2
		Actual			2

Outputs

- Recommendations on adjustments to the sanctions regime (2)
- Recommendations concerning new individuals or entities to be listed or updates to the existing sanctions list (10)

Expected accomplishment	*Indicators of achievement*		*Performance measures* 2017	2016	2015
(c) Improved compliance by States and other entities with the sanctions measures	(i) Number of communications from States and other entities informing of compliance-related issues	Target	34	25	25
		Estimate		34	25
		Actual			33
	(ii) Number of communications from States and other entities seeking advice on ways to comply with the measures	Target	11	10	14
		Estimate		11	10
		Actual			11

Outputs

- Communications to States and other entities requesting action or updates on compliance with the sanctions measures (30)
- Investigative reports on the compliance of States and other entities with the sanctions regime (7)

External factors

76. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts on the Central African Republic, and provided that the investigations of the Panel are not hindered.

Resource requirements (regular budget)

Table 24
Financial resources

(Thousands of United States dollars)

	1 January-31 December 2016				Requirements for 1 January-31 December 2017			
Category	Appropriation (1)	Estimated expenditure (2)	Variance (3)=(1)-(2)	Appropriation 2016 (4)=(1)	Total requirements (5)	Non-recurrent requirements (6)	Variance (2017-2016) (7)=(5)-(4)	Net requirements for 2017[a] (8)=(5)-(3)
Civilian personnel costs	194.0	194.0	–	194.0	194.0	–	–	194.0
Operational costs	978.0	953.0	25.0	978.0	978.0	–	–	953.0
Total	**1 172.0**	**1 147.0**	**25.0**	**1 172.0**	**1 172.0**	**–**	**–**	**1 147.0**

[a] Net requirements after taking into account the estimated underexpenditures or overexpenditures for 2016.

Table 25
Positions

	Professional and higher categories									General Service and related categories			National staff			
	USG	ASG	D-2	D-1	P-5	P-4	P-3	P-2	Subtotal	Field Security Service	General Service	Total international	National Professional Officer	Local level	United Nations Volunteers	Total
Approved 2016	–	–	–	–	–	–	1	–	1	–	1	2	–	–	–	2
Proposed 2017	–	–	–	–	–	–	1	–	1	–	1	2	–	–	–	2
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

77. The anticipated unencumbered balance in 2016 is due mainly to the three-person-month vacancy of the experts following the renewal of the mandate in 2016.

78. Should the Security Council extend the mandate of the Panel of Experts on the Central African Republic beyond 29 February 2017, the estimated requirements for 2017 would amount to $1,172,000 (net of staff assessment). That amount would provide for salaries and common staff costs for two positions (1 P-3 and 1 General Service (Other level)) to provide substantive and administrative support to the members of the Panel ($194,000); expert fees ($498,000) and official travel ($304,100) of the five members of the Panel; official travel of staff ($57,300); and other operational and logistical support requirements, such as the rental of premises, the rental of vehicles, communications, information technology equipment and maintenance and miscellaneous supplies and services ($118,600).

79. No change is proposed for 2017 to the approved staffing structure of the Panel of Experts on the Central African Republic.

Extrabudgetary resources

80. No extrabudgetary resources were available in 2016, nor are any projected for the Panel of Experts on the Central African Republic for 2017.

G. Panel of Experts on Yemen

($2,685,400)

Background, mandate and objective

81. The Panel of Experts on Yemen was established by the Security Council in its resolution 2140 (2014). The mandate of the Panel has been subsequently extended by the Council a number of times, most recently by its resolution 2266 (2016), until 27 March 2017.

82. The Panel of Experts, which is home-based, comprises a Coordinator (also the regional expert) and four other experts, in the areas of armed groups, finance, arms and international humanitarian law. The Panel is mandated to oversee an assets freeze and a travel ban imposed on individuals or entities designated by the Committee as engaging in or providing support for acts that threaten the peace, security and stability of Yemen, and to provide information relevant to the potential designation of such individuals and entities. In its resolution 2216 (2015), the Council expanded the measures to include a targeted arms embargo on designated individuals or entities and added a fifth expert to the Panel. The Panel reports to the Security Council through its Committee established pursuant to resolution 2140 (2014). The Group is mandated to undertake the following tasks in accordance with paragraphs 21 and 22 of resolution 2140 (2014), paragraphs 4 to 6 of resolution 2204 (2015), paragraphs 21 and 23 of resolution 2216 (2015) and paragraphs 5 to 7 of resolution 2266 (2016):

(a) To assist the Committee in carrying out its mandate as specified in resolution 2140 (2014) and 2216 (2015), including by providing the Committee at any time with information relevant to the potential designation of individuals and entities that may be engaging in the activities described in paragraphs 17 and 18 of resolution 2140 (2014) and paragraph 19 of resolution 2216 (2015);

(b) To gather, examine and analyse information from States, relevant United Nations bodies, regional organizations and other interested parties regarding the implementation of the measures decided in resolutions 2140 (2014) and 2216 (2015), in particular, incidents of undermining the political transition;

(c) To provide a midterm update to the Committee, and a final report no later than 27 January 2017 to the Security Council after discussion with the Committee;

(d) To assist the Committee in refining and updating information on the list of individuals who are subject to the measures imposed pursuant to paragraphs 11 and 15 of resolution 2140 (2014), including through the provision of identifying information and additional information for the publicly available narrative summary of reasons for listing;

(e) To cooperate with other relevant expert groups established by the Security Council, in particular the Analytical Support and Sanctions Monitoring Team pursuant to resolutions 1526 (2004) and 2253 (2015);

(f) To monitor implementation of the measures imposed by the Council in paragraph 14 of resolution 2216 (2015).

Cooperation with other entities

83. The Panel of Experts cooperates with Member States, including the Government of Yemen, and receives the cooperation and assistance of international, regional and subregional organizations, such as the Gulf Cooperation Council, the World Bank and the International Monetary Fund, the United Nations country team in Yemen, the Office of the Special Envoy of the Secretary-General for Yemen and INTERPOL. In carrying out its mandate, the Panel cooperates with other sanctions monitoring teams, groups and panels, as mandated and appropriate.

84. The Department of Political Affairs is responsible for providing administrative and substantive support to the Panel of Experts. The Department of Safety and Security provides advice on safety and security issues. The Department of Field Support provides administrative support related to staff and operations in Sana'a, through the Kuwait Joint Support Office. The Sana'a Office of the Special Envoy of the Secretary-General for Yemen also provides operational support where available. The close protection team of the Office of the Special Envoy will supplement the existing close protection officers of the Panel and vice versa. When both the Panel and the Special Envoy are in Yemen at the same time, the Economic and Social Commission for Western Asia and other United Nations offices in the region will provide support through the provision of close protection security officers, on a cost-reimbursable basis.

Performance information

85. The Panel of Experts provided an update to the Committee on 25 April 2016 and a midterm update on 5 August pursuant to resolution 2266 (2016). It also submitted additional investigative reports to the Committee relevant to the potential designation of individuals or entities.

Table 26
Performance information for 2016

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• The Panel of Experts engaged in several trips to Europe, the Middle East and the Horn of Africa to pursue lines of investigation pursuant to its mandate. The Panel also travelled to countries where assets suspected of belonging to designated individuals were believed to be held
	• The Panel of Experts' midterm update to the Committee included information and analysis on acts that threaten the peace, security or stability of Yemen. The Panel also provided the Committee with new statements of case on individuals meeting the designation criteria
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• The Panel of Experts' midterm update to the Committee included information pertaining to the implementation of the sanctions measures. An analysis of commercial maritime shipping in connection with the implementation of the targeted arms embargo was also included
	• The Panel of Experts provided updates to the sanctions list, including the provision of additional bio-identifiers for designated individuals

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(c) Improved compliance by States and other entities with the sanctions measures	• The Chair of the Committee arranged an open briefing to enhance dialogue with Member States and inform them about the work and activities of the Committee • The Panel of Experts maintained contacts with many States within and outside the region in order to discuss and receive updates on the implementation and enforcement of the sanctions measures • Member States transmitted to the Committee reports on the implementation of the asset freeze, travel ban and targeted arms embargo

Planning assumptions for 2017

86. In 2017, the Panel of Experts on Yemen will monitor the implementation of the relevant measures specified by the Security Council in its resolutions 2140 (2014), 2216 (2015) and 2266 (2016) and to continue to collect information relevant to the potential designation of individuals or entities. Subject to the security situation, it is expected that the Panel will conduct fieldwork and on-site investigation of acts that, inter alia, meet the designation criteria in the region and in Yemen.

87. The objective, expected accomplishments, indicators of achievement and performance measures of the Panel of Experts are set out in table 27.

Table 27
Objectives, expected accomplishments, indicators of achievement and performance measures

Objective of the Organization: To ensure the full implementation of the sanctions measures contained in Security Council resolutions 2140 (2014) and 2266 (2016) pertaining to Yemen

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(i) Number of official communications from the Committee to States and other entities on alleged violations cited by the Panel of Experts	Target	5	10	10
		Estimate		5	10
		Actual			4
	(ii) Number of bilateral meetings between the Chair of the Committee and States and organizations concerned to follow up on the reports of the Panel of Experts	Target	5	2	7
		Estimate		5	7
		Actual			6

Outputs

- Reports to the Security Council (1)
- Updates to the Committee on the activities of the Panel (1)
- Investigative reports on the compliance of States and other entities with the sanctions regime (6)

Objective of the Organization: Enhanced capacity of the Security Council to adjust the sanctions regime

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(i) Number of recommendations made by the Panel of Experts agreed upon by the Committee	Target	5	5	5
		Estimate		5	5
		Actual			4
	(ii) Number of recommendations made by the Panel of Experts incorporated by the Security Council into subsequent resolutions	Target	2	2	2
		Estimate		2	2
		Actual			2

Outputs

- Recommendations on adjustments to the sanctions regime (2)
- Recommendations concerning new individuals or entities to be listed or updates to the existing sanctions list (6)

Objective of the Organization: Improved compliance by States and other entities with the sanctions measures

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(c) Improved compliance by States and other entities with the sanctions measures	(i) Number of communications from States and other entities informing of compliance-related issues	Target	28	32	32
		Estimate		27	32
		Actual			25
	(ii) Number of communications from States and other entities seeking advice on ways to improve compliance	Target	14	14	14
		Estimate		12	14
		Actual			10

Outputs

- Communications to States and other entities requesting action or updates relating to compliance with the sanctions measures (34)
- Investigative reports on the compliance of States and other entities with the sanctions regime (6)

External factors

88. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts on Yemen, and provided that the investigations of the Panel are not hindered.

Resource requirements (regular budget)

Table 28
Financial resources

(Thousands of United States dollars)

	1 January-31 December 2016				Requirements for 1 January-31 December 2017			
	Appropriation	Estimated expenditure	Variance	Appropriation 2016	Total requirements	Non-recurrent requirements	Variance (2017-2016)	Net requirements for 2017[a]
Category	(1)	(2)	(3)=(1)-(2)	(4)=(1)	(5)	(6)	(7)=(5)-(4)	(8)=(5)-(3)
Civilian personnel costs	916.5	889.0	27.5	916.5	840.5	–	(76.0)	813.0
Operational costs	2 100.8	2 082.4	18.4	2 100.8	1 844.9	–	(255.9)	1 826.5
Total	**3 017.3**	**2 971.4**	**45.9**	**3 017.3**	**2 685.4**	**–**	**(331.9)**	**2 639.5**

[a] Net requirements after taking into account the estimated underexpenditures or overexpenditures for 2016.

Table 29
Positions

	Professional and higher categories									General Service and related categories			National staff			
	USG	ASG	D-2	D-1	P-5	P-4	P-3	P-2	Subtotal	Field Security Service	General Service	Total international	National Professional Officer	Local level	United Nations Volunteers	Total
Approved 2016	–	–	–	–	–	–	1	–	1	5	–	6	–	2	–	8
Proposed 2017	–	–	–	–	–	–	1	–	1	5	–	6	–	2	–	8
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

89. The anticipated unencumbered balance in 2016 is due mainly to the seven-month vacancy of one Close Protection Officer position (Field Service) based in Sana'a, and the three-person-month vacancy of the experts following the renewal of the mandate in 2016.

90. The estimated requirements for 2017 amount to $2,685,400 (net of staff assessment). That amount would provide for salaries and common staff costs for eight positions (1 P-3, 5 Field Service and 2 Local level), to provide substantive and logistical support to the members of the Panel ($840,500); expert fees ($552,000) and official travel ($480,800) of the five experts with the Panel of Experts on Yemen; official travel of staff ($322,400); and other operational and logistical support requirements such as communications, information technology equipment and maintenance and other supplies and services ($489,700).

91. No change is proposcd for 2017 to the approved staffing structure of the Panel of Experts on Yemen.

92. The variance between the 2017 requirements and the 2016 approved budget is due mainly to the one-time provision made in 2016 for the acquisition of two armoured vehicles, the provision for salaries at the actual average step in grade and dependency status of the current incumbents, and the ratio of actual common staff

costs expenditures to salaries, based on expenditure trends, and the changes in travel destinations for staff resulting in slightly lower costs.

Extrabudgetary resources

93. No extrabudgetary resources were available in 2016, nor are any projected for the Panel of Experts on Yemen for 2017.

H. Panel of Experts on South Sudan

($1,319,300)

Background, mandate and objective

94. The Panel of Experts on South Sudan was established by the Security Council in its resolution 2206 (2015). The mandate of the Panel has been subsequently extended by the Council a number of times, most recently by its resolution 2290 (2016), until 1 July 2017.

95. The Panel of Experts, which is home-based, comprises a Coordinator (also the armed groups expert) and four other experts, in the areas of regional issues, arms, humanitarian affairs and natural resources/finance. The Panel is mandated to oversee an assets freeze and a travel ban. The Panel reports to the Security Council through its Committee established pursuant to resolution 2206 (2016). The Panel is mandated to undertake the following tasks in accordance with paragraph 12 of resolution 2290 (2016):

(a) To assist the Committee in carrying out its mandate as specified in the resolution, including by providing the Committee with information relevant to the potential designation of individuals and entities that may be engaging in the activities described in paragraphs 8 and 9 of resolution 2290 (2016);

(b) To gather, examine and analyse information regarding the implementation of the measures decided in the resolution, in particular incidents of non-compliance, with particular focus on the benchmarks outlined in paragraphs 15 and 16 of resolution 2290 (2016);

(c) To gather, examine and analyse information regarding the supply, sale or transfer of arms and related materiel and related military or other assistance, including through illicit trafficking networks, to individuals and entities undermining implementation of the Agreement or participating in acts that violate international human rights law or international humanitarian law, as applicable;

(d) To provide to the Council, after discussion with the Committee, an interim report by 1 December 2016, a final report by 1 May 2017 and, except for the months when those reports are due, monthly updates;

(e) Also to provide to the Council a report within 120 days providing analysis of the current security threats facing the Transitional Government of National Unity, and its needs to maintain law and order in South Sudan, as well as further analysis on the role of transfers of arms and related materiel coming into South Sudan since the formation of the Transitional Government, with respect to the implementation of the Agreement and threats to the United Nations Mission in the Republic of South Sudan (UNMISS) and other United Nations and international humanitarian personnel.

Cooperation with other entities

96. In carrying out its mandate, in addition to seeking the cooperation and assistance of Member States, the Panel of Experts on South Sudan seeks the cooperation and assistance of regional and economic organizations, such as the African Union and its Commission of Inquiry; relevant United Nations operations in the field, such as UNMISS; IGAD and its monitoring and verification mechanism; and other relevant sanctions monitoring teams, groups and panels.

Performance information

97. The Panel of Experts provided its first monthly report pursuant to paragraph 18 (d) of Security Council resolution 2206 (2015) on 26 June 2015, with updates provided at monthly intervals thereafter. The final report of the Panel of Experts (S/2016/70) pursuant to resolution 2206 (2015) was published on 26 January 2016.

Table 30
Performance information for 2016

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• The Panel maintained a constant presence in the country and the region, and travelled to particular areas of interest for its mandate, and it investigated thoroughly all aspects relating to the implementation of the assets freeze and the travel ban
	• The Panel provided the Committee with an analysis of the implementation of the sanctions regime in South Sudan, including a list of stakeholders involved in the Panel's activities of investigation
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• The Panel assisted the Committee in refining and updating information on the list of individuals and entities designated pursuant to the criteria set out in paragraphs 6, 7 and 8 of resolution 2206 (2015)
	• The Panel provided the Committee with its final report (S/2016/70), an exhaustive analysis of the implementation of the sanctions regime in South Sudan, including recommendations on possible developments and adjustments to be considered
(c) Improved compliance by States and other entities with the sanctions measures	• The Panel continued to inform and provide support to the Government of South Sudan on how to implement the sanctions regime
	• The Panel maintained contacts with States of the region and elsewhere in order to discuss and receive updates on the implementation and enforcement of the sanctions measures imposed on South Sudan
	• The Panel dispatched letters to relevant entities and Member States informing them of the importance of complying with resolution 2206 (2015). On 12 February 2016, the Committee convened a formal meeting with relevant States to encourage a dialogue in pursuance of paragraph 16 (g) of resolution 2206 (2016) and paragraph 3 (b) of its guidelines

Planning assumptions for 2017

98. In 2017, the Panel of Experts on South Sudan will continue to monitor the implementation of the relevant measures specified by the Security Council in its resolution 2206 (2015). The Panel will continue to collect information on and monitor the implementation by States of the measures imposed by the Council. The Panel will continue to conduct extensive fieldwork and on-site investigations of alleged violations and make recommendations thereon. Furthermore, the Panel is expected to submit an interim report and a final report and to continue providing monthly updates on its activities to the Council that would include specific recommendations.

99. The objective, expected accomplishments, indicators of achievement and performance measures of the Panel of Experts are set out in table 31.

Table 31
Objectives, expected accomplishments, indicators of achievement and performance measures

Objective of the Organization: To ensure the full implementation of the sanctions measures contained in Security Council resolution 2206 (2015) concerning South Sudan

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(i) Number of official communications from the Committee to States and other entities on alleged violations cited by the Panel	Target	30	6	6
		Estimate		30	6
		Actual			19
	(ii) Number of bilateral meetings between the Chair of the Committee and concerned States and organizations to follow up on the report of the Panel	Target	3	6	3
		Estimate		6	3
		Actual			1

Outputs

- Reports to the Security Council (2)
- Updates to the Committee on the activities of the Panel (10)

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(i) Number of recommendations made by the Panel agreed by the Committee	Target	4	6	6
		Estimate		6	6
		Actual			1
	(ii) Number of recommendations made by the Panel incorporated in the resolutions of the Security Council	Target	1	1	1
		Estimate		1	1
		Actual			0

Outputs

- Recommendations on adjustments to the sanctions regime (2)
- Recommendations concerning new individuals or entities to be listed or updates to the existing sanctions list (3)

Expected accomplishment	Indicators of achievement		Performance measures 2017	2016	2015
(c) Improved compliance by States and other entities with the sanctions measures	(i) Number of communications from States and other entities informing of compliance-related issues	Target	34	13	13
		Estimate		34	20
		Actual			20
	(ii) Number of communications from States and other entities seeking advice on ways to comply with the measures	Target	11	9	9
		Estimate		9	9
		Actual			5

Outputs

- Communications to States and other entities requesting action or updates relating to compliance with the sanctions measures (36)
- Investigative reports on the compliance of States and other entities with the sanctions regime (7)

External factors

100. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts, and provided that the investigations of the Panel are not hindered.

Resource requirements (regular budget)

Table 32
Financial resources

(Thousands of United States dollars)

	1 January-31 December 2016			Requirements for 1 January-31 December 2017				
Category	Appropriation (1)	Estimated expenditure (2)	Variance (3)=(1)-(2)	Appropriation 2016 (4)=(1)	Total requirements (5)	Non-recurrent requirements (6)	Variance (2017-2016) (7)=(5)-(4)	Net requirements for 2017[a] (8)=(5)-(3)
Civilian personnel costs	336.9	254.3	82.6	336.9	329.7	–	(7.2)	247.1
Operational costs	1 091.5	944.0	147.5	1 091.5	989.6	–	(101.9)	842.1
Total	**1 428.4**	**1 198.3**	**230.1**	**1 428.4**	**1 319.3**	**–**	**(109.1)**	**1 089.2**

[a] Net requirements after taking into account the estimated underexpenditures or overexpenditures for 2016.

Table 33
Positions

	Professional and higher categories									General Service and related categories			National staff			
	USG	ASG	D-2	D-1	P-5	P-4	P-3	P-2	Subtotal	Field Security Service	General Service	Total international	National Professional Officer	Local level	United Nations Volunteers	Total
Approved 2016	–	–	–	–	–	–	1	–	1	–	2	3	–	–	–	3
Proposed 2017	–	–	–	–	–	–	1	–	1	–	2	3	–	–	–	3
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

101. The anticipated unencumbered balance in 2016 is due mainly to a six-month vacancy of one position of Political Affairs Officer and the related reduced travel requirements, changes in the travel destinations of the experts, in line with the Panel's focus on investigations in the region, and lower average fees of the experts as the composition of the Panel changes.

102. The estimated requirements for 2017 amount to $1,319,300 (net of staff assessment). That amount would provide for salaries and common staff costs for three positions (1 P-3 and 2 General Service (Other level)) to provide substantive and administrative support to the members of the Panel ($329,700); expert fees ($480,000) and official travel ($351,400) of the five members of the Panel; official travel of staff ($37,500); and other operational and logistical support requirements, such as the rental of premises, the rental of vehicles, communications, information technology equipment and maintenance and miscellaneous supplies and services ($120,700).

103. No change is proposed for 2017 to the approved staffing structure of the Panel of Experts on South Sudan.

104. The variance between the 2017 requirements and the 2016 approved budget is due mainly to reduced travel requirements of the experts owing to the changes in travel destinations, in line with the Panel's focus on investigations in the region, lower average fees of the experts as the composition of the Panel changes, reduced requirements for translation support for the Panel, the provision for salaries at the actual average step in grade and dependency status of the current incumbents, and the ratio of actual common staff costs expenditures to salaries, based on expenditure trends.

Extrabudgetary resources

105. No extrabudgetary resources were available in 2016, nor are any projected for the Panel of Experts on South Sudan for 2017.

I. Analytical Support and Sanctions Monitoring Team pursuant to resolutions 1526 (2004) and 2253 (2015) concerning ISIL (Da'esh), Al-Qaida and the Taliban and associated individuals and entities; and the Office of the Ombudsperson established pursuant to resolution 1904 (2009)

($6,729,300)

Background, mandate and objective

106. The Analytical Support and Sanctions Monitoring Team was established on 15 March 2004 by the Security Council in its resolution 1526 (2004) concerning Al-Qaida and the Taliban and associated individuals and entities; it was to be composed of eight experts and to report to the Al-Qaida and Taliban Sanctions Committee with a view to updating it on the evolving threat emanating from the sanctioned individuals and entities, make recommendations concerning more effective implementation of the sanctions and collect updated information on sanctioned individuals and entities associated with Al-Qaida as well as on those individuals, groups, undertakings and entities designated on the sanctions list

established under resolution 1988 (2011) as associated with the Taliban in constituting a threat to the peace, stability and security of Afghanistan. In 2011, the Committee was split into the Security Council Committee pursuant to resolutions 1267 (1999) and 1989 (2011) concerning Al-Qaida and associated individuals and entities, and the Security Council Committee established pursuant to resolution 1988 (2011), concerning those associated with the Taliban in constituting a threat to the peace, stability and security of Afghanistan. On 17 December 2015, in its resolution 2253 (2015), the Security Council expanded the mandate of the Al-Qaida Sanctions Committee to include the Islamic State in Iraq and the Levant (ISIL) and decided that it would henceforth be known as the "Security Council Committee pursuant to resolutions 1267 (1999), 1989 (2011) and 2253 (2015) concerning Islamic State in Iraq and the Levant (Da'esh), Al-Qaida and associated individuals, groups, undertakings and entities" and that the Al-Qaida sanctions list would henceforth be known as the "ISIL (Da'esh) and Al-Qaida sanctions list". In paragraph 90 of the resolution, the Council called for the addition of up to two new experts on the Monitoring Team to increase its capacity and strengthen its ability to analyse ISIL financing, radicalization and recruitment and attack-planning activities. The mandate was extended by paragraph 88 of resolution 2253 (2015), until December 2019.

107. The Secretary-General appoints a Coordinator among the experts selected as part of the Monitoring Team. The mandate of the team, which is defined in annex I to resolution 2253 (2015) and the annex to resolution 2255 (2015), is to undertake the following tasks:

(a) To gather information on, and keep the Committees informed of, instances and common patterns of non-compliance with the measures imposed in the relevant resolutions, as well as to facilitate, upon request by Member States, assistance in capacity-building;

(b) To work closely with the States of residence, nationality, location or incorporation of listed individuals, groups, undertakings and entities, designating States and other relevant States, and to provide recommendations to both Committees on action taken to respond to non-compliance;

(c) To hold special meetings on important thematic or regional topics and capacity challenges for Member States, in consultation, as appropriate, with the Counter-Terrorism Committee, the Counter-Terrorism Committee Executive Directorate, the Counter-Terrorism Implementation Task Force and the Financial Action Task Force, to identify and prioritize areas for the provision of technical assistance to enable more effective implementation by Member States;

(d) To assist the Committees in regularly reviewing names on the sanctions list with a view to developing the Committees' record of the facts and circumstances relating to a listing;

(e) To provide the ISIL (Da'esh) and Al-Qaida Sanctions Committee with:

(i) A comprehensive, independent biannual report concerning the global threat posed by ISIL, Al-Qaida and associated individuals, groups, undertakings and entities, including an assessment of the impact of resolution 2199 (2015) on ISIL (Da'esh) and the Al-Nusrah Front for the People of the Levant, the threat posed by foreign terrorist fighters recruited by or joining Al-Qaida, ISIL and all other associated groups and undertakings, and specific

recommendations related to improved implementation of relevant sanctions measures, including those referred to in paragraph 2 of resolution 2253 (2015), resolution 2178 (2014), resolution 2199 (2015) and possible new measures;

(ii) Its quarterly analysis of the global implementation of resolutions 2199 (2015) and 2178 (2014), including by gathering information and analysis relevant to potential sanctions designations by Member States or action that could be taken by the Committee;

(iii) Input, on a triannual basis, reflecting the gravity of the threat emanating from ISIL, including that of foreign terrorist fighters joining ISIL and associated groups and entities, and the sources of financing of these groups, including illicit trade in oil, antiquities and other natural resources, as well as the planning and facilitation of attacks, and reflecting the range of United Nations efforts in support of Member States in countering this threat, for inclusion in the draft of the report mandated by paragraph 97 of resolution 2253 (2015);

(f) To provide the 1988 Sanctions Committee with an annual comprehensive, independent report on implementation by Member States of the measures of resolution 2255 (2015), including specific recommendations for improved implementation of the measures and possible new measures as well as an update to its special report pursuant to resolution 2160 (2014), annex (p).

108. In paragraph 20 of its resolution 1904 (2009), the Security Council established the Office of the Ombudsperson to assist the Security Council Committee established pursuant to resolution 1267 (1999) when it considers requests from individuals and entities seeking removal from the list of sanctioned individuals and entities. In 2011, 2012 and 2015, the Council renewed the mandate of the Office through the adoption of its resolutions 1989 (2011), 2083 (2012) and 2253 (2015).

109. The Office of the Ombudsperson provides an independent mechanism through which a listed person, group, undertaking or entity can seek delisting from the ISIL (Da'esh) and Al-Qaida sanctions list. It works in an impartial manner, as it neither seeks nor receives instructions from any Government or any other entity. Where the Ombudsperson recommends the delisting of names, they are delisted unless the Committee decides by consensus to retain the listing or refers the matter to the Security Council for a decision.

110. The functions and tasks of the Ombudsperson are set out in paragraph 54 of resolution 2253 (2015) and annex II thereto, which now explicitly refers to ISIL (Da'esh), as enumerated below:

(a) To receive requests from individuals, groups, undertakings or entities seeking to be removed from the ISIL (Da'esh) and Al-Qaida sanctions list in an independent and impartial manner, and neither to seek nor to receive instructions from any Government;

(b) To present to the Committee observations and a recommendation on the delisting of those individuals, groups, undertakings or entities that have requested removal from the ISIL (Da'esh) and Al-Qaida sanctions list through the Office of the Ombudsperson, either a recommendation to retain the listing or a recommendation that the Committee consider delisting.

111. In paragraph 90 of resolution 2253 (2015), the Security Council requested from the Secretariat additional administrative and analytical support resources to support the resulting increased activities of the Committee, including meeting support; the updating of the list database; the issuance and updating of INTERPOL Special Notices for listed names; the issuance of notes verbales to Member States and press releases; the preparation and dispatch of notification letters to relevant States; the upkeep of the Committees' websites; the drafting of tables of recommendations based on Monitoring Team reports; and the drafting of the Committees' position papers. Many of the related documents would need to be translated into the official languages of the United Nations and uploaded to the Committees' website, including the list entries and narrative summaries for individuals and entities listed on the ISIL (Da'esh) and Al Qaida sanctions list.

112. In paragraph 48 of the resolution, the Council directed the Secretariat, with the assistance of the Monitoring Team, to build and maintain the enhanced data model approved by the Committee, with a view to its completion by June 2017. The enhanced data model is a complex multi-year information technology development project being carried out in several phases: the first phase, which involves planning and preparations for the establishment of the enhanced data model (assessment, recruitment of consultants, workplan and updating of the model), will be completed by September 2016. The second phase, which includes the creation and development of the enhanced data model and its new reporting system, will be completed by April 2017. The third phase includes the testing of the database and data model to ensure that it complies with the requirements as approved by the Committee. This phase will also include a soft launch of the project, during which the project will be presented to end-users together with a time frame for adapting the external system to the new enhanced data model, by the end of June 2017. The four staff members dedicated to the building and maintenance of the enhanced data model will be fully involved in all the phases described above, as necessary.

Cooperation with other entities

113. The Monitoring Team continues to coordinate its work and share information with relevant partners within the United Nations system and with international organizations, including the United Nations Assistance Mission in Afghanistan (UNAMA), the United Nations Multidimensional Integrated Stabilization Mission in Mali (MINUSMA), UNSOM, UNSMIL, the United Nations Assistance Mission in Iraq (UNAMI), ICAO, WCO, the United Nations Educational, Scientific and Cultural Organization (UNESCO), the United Nations Office on Drugs and Crime (UNODC), the Counter-Terrorism Committee and its Executive Directorate, the Counter-Terrorism Implementation Task Force and the United Nations Counter-Terrorism Centre, and with other sanctions experts who support the Security Council, in particular as their work relates to areas such as Libya, Somalia and Yemen, where Al-Qaida and ISIL and their associates are active. The Team regularly exchanges information, undertakes joint visits to Member States and cooperates on outreach activities, including cooperation on advance passenger information systems in connection with the implementation of resolution 2178 (2014) addressing the threat of foreign terrorist fighters.

114. The Monitoring Team also continues to strengthen its cooperation with other relevant international, regional and non-governmental organizations, such as the Action against Terrorism Unit of the Organization for Security and Cooperation in

Europe (OSCE), the Commonwealth of Independent States, the Collective Security Treaty Organization, NATO, Combined Task Force 150 (CTF-150), the African Union, the Financial Action Task Force and its regional bodies, the International Air Transport Association, the group of experts of the Security Council Committee established pursuant to resolution 1540 (2004) and the Organization of Islamic Cooperation. The work of the Committees and the Monitoring Team also continues to enjoy cooperative arrangements with INTERPOL, in particular through the issuance of INTERPOL-United Nations Security Council Special Notices. In addition, the Monitoring Team regularly convenes regional meetings with the intelligence and security agencies of Member States.

115. The Office of the Ombudsperson interacts with petitioners seeking delisting, the relevant States, the Monitoring Team and United Nations entities and offices, including the Office of the United Nations High Commissioner for Human Rights; UNODC; the Special Rapporteur on the promotion and protection of human rights and fundamental freedoms while countering terrorism; the Special Rapporteur on torture and other cruel, inhuman or degrading treatment or punishment; and the Office of Legal Affairs. The Ombudsperson also interacts with States or regional organizations in cases in which the sanctions measures of the Security Council have been challenged in courts of law (such as in Canada, Switzerland, the United Kingdom of Great Britain and Northern Ireland and the European Union).

Performance information

116. The Monitoring Team continued to actively promote and deepen understanding of the ISIL (Da'esh)/Al-Qaida and 1988 sanctions regimes of the Security Council and to address non-compliance issues. In its most recent reports to the ISIL (Da'esh)/Al-Qaida and 1988 Sanctions Committees (S/2015/441, S/2015/739, S/2015/891, S/2016/210, S/2016/213, S/2015/79 and S/2015/648), it provided information on the latest trends with respect to activities carried out by ISIL (Da'esh), Al-Qaida and the Taliban and their affiliates, as well as the threat posed by ISIL and the Al-Nusrah Front. It has also reported, as mandates by the Security Council, on the current trends in activities and threats posed by foreign terrorist fighters. Furthermore, as directed by the ISIL (Da'esh) and Al-Qaida Sanctions Committee, the Monitoring Team also reported on the challenges that business entities face when implementing the sanctions provisions of resolutions 2199 (2015) and 2253 (2015).

117. The Monitoring Team has completed the narrative summaries of reasons for the listing of individuals and entities listed in 2016 and presented amendments to existing list entries. The Monitoring Team also supported the ISIL (Da'esh)/ Al-Qaida and 1988 Sanctions Committees in its annual review of listed individuals and entities as mandated in paragraph 66 of resolution 2161 (2014) and paragraph 33 of resolution 2160 (2014).

118. The Monitoring Team has had a series of meetings with other sanctions panels and has coordinated with United Nations sanctions experts at events on efforts to address terrorism financing. In addition, the Monitoring Team cooperated with a range of United Nations agencies and international organizations such as UNODC, UNESCO, ICAO, WCO, the Financial Action Task Force and INTERPOL. Finally, the Monitoring Team held a series of meetings with private sector stakeholders in the oil, gas and spare parts, antiquities and financial sectors.

119. In 2016, the Ombudsperson continued to carry out work relating to ongoing cases and received new delisting petitions. Each of these cases involved an information-gathering process that required interaction and follow-up with various States, as well as dialogue with the petitioners.

120. In accordance with annex II to resolution 2253 (2015), each petition requires in-depth analysis of the information gathered and the preparation and presentation of a comprehensive report to the Committee.

121. The Office of the Ombudsperson has also continued its efforts to raise awareness about the Office and to make it accessible to potential petitioners and to the public generally. The Ombudsperson is continuing to develop policy documents to ensure transparency and consistency of approach. The Ombudsperson has continued discussions with several States regarding arrangements or agreements that would allow for the sharing of classified/confidential information with the Ombudsperson.

Table 34
Performance information for 2016

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• The Monitoring Team gathered information on the implementation of sanctions and on instances of non-compliance with the travel ban, arms embargo and assets freeze, and informed the Committees of its main findings
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• The Monitoring Team has continued to provide advice and recommendations to the Sanctions Committees on enhancing the sanctions regimes through its reports and written communications and through participation in the Committees' meetings. The ISIL (Da'esh) and Al-Qaida Sanctions Committee has agreed with 23 of the 25 recommendations contained in the reports submitted by the Team in 2016 and was still considering two recommendations. It is also anticipated that in 2016, the Team will submit recommendations in its annual report to the 1988 Sanctions Committee, which is due on 30 September
(c) Improved compliance by States and other entities with the sanctions measures	• The Monitoring Team continued its outreach and undertook 12 visits to Member States (two joint visits with the Counter-Terrorism Committee Executive Directorate), 35 meetings with other organizations and three regional meetings with Member States as mandated by the Security Council • Numerous visited States indicated that they would take specific action to enhance their implementation of the sanctions, for example, by adopting or upgrading legislation or enhancing the distribution of updated sanctions lists among border control posts and financial institutions. Member States were also informed by the Monitoring Team of specific international assistance available to them in improving their capacity for compliance with the sanctions

Expected accomplishments	Actual results, with a focus on major indicators of achievement
	• During 2016, the Monitoring Team participated in visits to Kyrgyzstan and Kazakhstan organized by the Counter-Terrorism Committee Executive Directorate. These joint trips allow the Monitoring Team experts to discuss issues related to capacity-building and threats posed by ISIL and Al-Qaida affiliates in Central Asia
(d) Improved fairness and transparency of the delisting process of the Al-Qaida Sanctions Committee	• The Ombudsperson visited relevant States to conduct personal interviews with separate delisting petitioners
	• The Ombudsperson continued updating the Security Council in the biannual reports of the Ombudsperson
(e) Improved recourse by listed individuals and entities to an independent and impartial review of their listing	• Three new requests have been received by the Office of the Ombudsperson, four comprehensive reports have been submitted, and two presentations have been made to the Committee
	• Also in accordance with the mandate, the Ombudsperson will submit two biannual reports to the Security Council on the activities of the Office of the Ombudsperson in 2016, one of which has already been submitted. The Office of the Ombudsperson has fulfilled other requirements, such as sending notification letters to newly listed persons and entities
	• Arrangements for the sharing of information have been put in place, as well as other arrangements for ad hoc assistance. The Ombudsperson has also continued to deliver presentations at various international and regional forums and has met with national, regional and international judges and other officials involved in work of relevance to the mandate of the Office

Planning assumptions for 2017

122. In 2017, the Monitoring Team will intensify contacts with Member States, relevant organizations and other entities in order to provide the Council, through the ISIL (Da'esh) and Al-Qaida Sanctions Committee, with current information on the changing nature of the threat posed by ISIL (Da'esh), Al-Qaida and associated groups and individuals. The Monitoring Team will also continue to work closely with organizations and entities to maximize the contributions of both sanctions regimes, the ISIL (Da'esh) and Al-Qaida Sanctions Committee and the Committee established pursuant to resolution 1988 (2011) to the promotion of peace and stability, in particular in the States where UNAMA, MINUSMA and UNSOM operate and in neighbouring countries.

123. The increase in the number of Member States listing proposals for the 1267/1989/2253 Sanctions Committee is projected to continue in 2017, resulting in a corresponding increase in the activity of the Committee and the Monitoring Team. Furthermore, the Security Council is likely to assign additional workload given the continuing development of the threat posed by ISIL (Da'esh), Al-Qaida and associated groups and individuals. It is foreseen that two new resolutions will be adopted in 2017 to update both the 1267/1989/2253 and 1988/2055 sanctions measures.

124. It is anticipated that the Office of the Ombudsperson will receive additional delisting requests in 2017, owing to an anticipated increase in the number of listings on the ISIL (Da'esh) and Al-Qaida sanctions list pursuant to resolution 2253 (2015).

125. The objective, expected accomplishments, indicators of achievement and performance measures of the Monitoring Team and the Office of the Ombudsperson are set out in table 35.

Table 35
Objectives, expected accomplishments, indicators of achievement and performance measures

Objective of the Organization: To prevent terrorist activities perpetrated by individuals or entities belonging to or associated with ISIL (Da'esh) and Al-Qaida, and to prevent the Taliban and those associated with the Taliban from constituting a threat to the peace, stability and security of Afghanistan

			Performance measures		
Expected accomplishment	*Indicators of achievement*		*2017*	*2016*	*2015*
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(i) Number of discussions at the Committees' meetings on instances of non-compliance with the sanctions regime as reported by the Monitoring Team or a Member State	Target	20	7	7
		Estimate		20	7
		Actual			16
	(ii) Number of references in the Committees' documents or in Security Council resolutions of non-compliance with the sanctions regimes, including measures to address them	Target	35	4	4
		Estimate		35	4
		Actual			28

Outputs

- Country visit reports (45)
- Reports on the participation of the Monitoring Team in meetings of international organizations and other meetings (17)

			Performance measures		
Expected accomplishment	*Indicators of achievement*		*2017*	*2016*	*2015*
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(i) Number of findings and recommendations made by the Monitoring Team agreed upon by the Committees	Target	65	19	15
		Estimate		65	19
		Actual			35
	(ii) Number of new list entries and narrative summaries drafted by the Monitoring Team in support of listing submissions by Member States to the Committees	Target	60	–	–
		Estimate		45	–
		Actual			43
	(iii) Number of amendments approved by the Committees to entries on the sanctions lists	Target	220	70	70
		Estimate		200	70
		Actual			107

Outputs

- Recommendations to the Committees and to the Security Council on actions aimed at promoting or modifying the sanctions regime (65)
- Comprehensive reports to the Committees (6)

- Presentations to the Committees on the results of country visits (35)
- Reports on the participation of the Monitoring team in meetings of international organizations and other meetings (18)
- Quarterly oral briefings pursuant to resolution 2253 (2015), to the Committee by the Monitoring Team on its analysis of the global implementation of resolutions 2199 (2015) and 2178 (2014) (4)
- Inputs by the Monitoring Team pursuant to resolution 2253 (2015) to the Secretary-General's updates on his strategic-level report (4)

			Performance measures		
Expected accomplishment	*Indicators of achievement*		*2017*	*2016*	*2015*
(c) Improved compliance by States and other entities with the sanctions measures	(i) Number of communications from States and other entities on compliance-related issues	Target	280	45	60
		Estimate		240	45
		Actual			156

Outputs

- Cooperation projects to broaden engagement with international, regional and subregional organizations on matters pertinent to the work of the relevant Committees (15)
- Updated information packages for Member States on the sanctions regimes, the sanctions measures and the work and procedures of the Committees (12)
- Regional meetings for security and intelligence services on the ISIL (Da'esh) and Al-Qaida threat and the implementation of the sanctions regime (3)

			Performance measures		
Expected accomplishment	*Indicators of achievement*		*2017*	*2016*	*2015*
(d) Improved fairness and transparency of the delisting process of the ISIL (Da'esh) and Al-Qaida Sanctions Committee	(i) Number of communications from States and relevant bodies enabling the Ombudsperson to inform petitioners what the case against them is	Target	265	241	240
		Estimate		265	241
		Actual			241
	(ii) Number of cases of listed individuals and entities under review by the Ombudsperson providing petitioners with the possibility of answering the case against them	Target	13	17	15
		Estimate		17	17
		Actual			13
	(iii) Number of annual review cases completed by the Committee	Target	210	–	–
		Estimate		190	–
		Actual			131

Outputs

- Letters from the Ombudsperson to States and relevant bodies seeking in-depth information on delisting petitions received (120)
- Reports from the Ombudsperson to the Security Council (2)
- Communications from the Ombudsperson to petitioners and listed persons and entities (100)
- Communication to and from the Committee to States pursuant to resolution 2253 (2015) (300)

Expected accomplishment	Indicators of achievement		Performance measures 2017	2016	2015
(e) Improved recourse by listed individuals and entities to an independent and impartial review of their listing	(i) Number of delisting requests presented to the Committees that include the analysis and observations of the Ombudsperson	Target	13	13	13
		Estimate		13	13
		Actual			10

Outputs

- Comprehensive case reports in relation to delisting petitions (13)

External factors

126. The objective would be achieved on the assumption that an increased number of petitioners use the mechanism as a result of additional ISIL (Da'esh) listings and that States comply with the resolutions of the Security Council and cooperate with the Monitoring Team and the Ombudsperson, and provided that the gathering of relevant information and its analysis are not hindered.

Resource requirements (regular budget)

Table 36
Financial resources

(Thousands of United States dollars)

	1 January-31 December 2016				Requirements for 1 January-31 December 2017			
Category	Appropriation (1)	Estimated expenditure (2)	Variance (3)=(1)-(2)	Appropriation 2016 (4)=(1)	Total requirements (5)	Non-recurrent requirements (6)	Variance (2017-2016) (7)=(5)-(4)	Net requirements for 2017[a] (8)=(5)-(3)
Civilian personnel costs	2 294.6	2 058.6	236.0	2 294.6	2 753.5	–	458.9	2 517.5
Operational costs	4 011.2	3 861.4	149.8	4 011.2	3 975.8	–	(35.4)	3 826.0
Total	**6 305.8**	**5 920.0**	**385.8**	**6 305.8**	**6 729.3**	**–**	**423.5**	**6 343.5**

[a] Net requirements after taking into account the estimated underexpenditures or overexpenditures for 2016.

Table 37
Positions

	Professional and higher categories									General Service and related categories			National staff			
	USG	ASG	D-2	D-1	P-5	P-4	P-3	P-2	Subtotal	Field Security Service	General Service	Total international	National Professional Officer	Local level	United Nations Volunteers	Total
Approved 2016	–	–	–	–	1	5	6	–	12	–	9	21	–	–	–	21
Proposed 2017	–	–	–	–	1	5	6	–	12	–	9	21	–	–	–	21
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

127. The anticipated unencumbered balance for 2016 is attributable mainly to the higher actual average vacancy rate of 54 per cent for the nine newly approved positions compared with the 37 per cent vacancy rate approved for 2016, the delay in recruitment for a total of five person-months for the experts, and the related reduction in travel requirements, offset in part by the cost of security installations as a result of the security risk assessment conducted by the Department of Safety and Security.

128. The estimated requirements for 2017 amount to $6,729,300 (net of staff assessment). That amount would provide for salaries and common staff costs for the continuation of 21 positions (1 P-5, 5 P-4, 6 P-3 and 9 General Service (Other level)) to provide substantive and administrative support to the members of the Monitoring Team, to the Committees and to the Office of the Ombudsperson ($2,753,500); expert fees ($2,097,700) and official travel ($624,700) of the 10 members of the Team and of the Ombudsperson; official travel of staff ($195,300); and other operational and logistical support requirements such as the rental of premises, communications, information technology equipment and miscellaneous supplies and services ($1,058,100).

129. No change is proposed for 2017 to the approved staffing structure of the Analytical Support and Sanctions Monitoring Team.

130. The variance between the 2017 requirements and the 2016 approved budget is attributable mainly to the zero per cent vacancy rate applied in 2017, based on the latest recruitment schedule, compared with the 37 per cent vacancy rate approved in 2016 for the nine approved positions (3 P-4, 3 P-3 and 3 General Service (Other level)), which are offset in part by the slightly lower average fees of the experts as the composition of the Monitoring Team changes, the removal of the one-time software licence fee for the enhanced data model and the non-recurrent provisions for the acquisition of 13 desktop computers approved in 2016.

Extrabudgetary resources

131. No extrabudgetary resources were available in 2016, nor are any projected for the Monitoring Team for 2017.

J. Implementation of Security Council resolution 2231 (2015)

($2,136,800)

Background, mandate and objective

132. In its resolution 2231 (2015), the Security Council endorsed the Joint Comprehensive Plan of Action on the Iranian nuclear issue agreed on 14 July 2015 by China, France, Germany, the Russian Federation, the United Kingdom, the United States of America, the European Union and the Islamic Republic of Iran, and the establishment of a Joint Commission composed of representatives from those countries.

133. By the same resolution, the Security Council decided to directly undertake tasks related to the implementation of the resolution, including those specified in annex B thereto. The Council also decided to review and decide on recommendations of the Joint Commission regarding proposals by States to

participate in or permit nuclear-related activities with the Islamic Republic of Iran. In paragraph 18 of the resolution, the Council requested the Secretary-General to take the necessary administrative measures to facilitate communications with Member States and between the Council and the Joint Commission through agreed practical arrangements.

134. The Secretary-General was also requested, by the same resolution and by a note by the President of the Council (S/2016/44), to report to the Council every six months on the implementation of resolution 2231 (2015).

135. On 16 January 2016, the provisions of previous Council resolutions on the Iranian nuclear issue were terminated. States will henceforth comply with the specific restrictions established by resolution 2231 (2015), including on nuclear-, ballistic missile- and arms-related transfers. After 10 years, provided that the provisions of previous Council resolutions have not been reinstated, all the provisions of resolution 2231 (2015) will be terminated and the Council will have concluded its consideration of the Iranian nuclear issue.

136. The note by the President of the Council also set forth practical arrangements and procedures for the Council to undertake the tasks related to the implementation of the resolution. These include:

(a) Monitoring the implementation of the resolution;

(b) Taking action, as appropriate, to improve the implementation by Member States of the resolution;

(c) Answering queries from Member States and international organizations regarding the implementation of the resolution;

(d) Responding appropriately to information regarding alleged actions inconsistent with the resolution;

(e) Undertaking outreach to promote proper implementation of the resolution;

(f) Reviewing and deciding on proposals from Member States as described in paragraphs 2 (i.e., the procurement channel functions referred to in the Joint Comprehensive Plan of Action), 4, 5 and 6 (b) of annex B to the resolution;

(g) Granting exemptions to the restrictions, as specified in the resolution.

137. To facilitate its work in the framework of resolution 2231 (2015), the Security Council will select on an annual basis one of its members to act as a Facilitator for the functions specified in the note by the President. In particular, the Facilitator will correspond with Member States on behalf of the Council, undertake outreach activities to promote proper implementation of the resolution, organize and chair informal meetings of the Council, and brief the Council every six months. Under normal circumstances, Council members will convene at the expert level to undertake the functions specified in the note.

138. In the note by its President, the Council also requested that the Security Council Affairs Division of the Department of Political Affairs act as a "point of contact" in the Secretariat and support the work of the Council and its Facilitator. The Division has been requested to:

(a) Assist the Facilitator in the organization and staffing of informal meetings of the Council related to the implementation of the resolution;

(b) Manage all incoming and outgoing communications related to implementation of the resolution and assist the Facilitator in corresponding with Member States on behalf of the Council;

(c) Draft correspondence, speaking notes and briefings of the Facilitator related to the implementation of the resolution;

(d) Maintain and archive all information and documents relating to the work of the Council on the implementation of the resolution;

(e) Maintain and promote publicly available information from the Council on the restrictions, including through the Council website and through outreach activities;

(f) Provide administrative support for the review by the Council of the Joint Commission recommendations, as follows:

(i) Receive proposals from Member States seeking to engage in nuclear-related activities/transfers;

(ii) Respond to queries from Member States about the procedures for the submission of a proposal to the Council and the process for review;

(iii) Circulate immediately to the Joint Commission Coordinator and the members of the Council incoming proposals, transmit incoming recommendations from the Joint Commission to the members of the Council, and transmit final decisions of the Council to the relevant Member States;

(iv) Receive any other communications from the Joint Commission and transmit them to the members of the Council, and transmit any relevant communications from the Council to the Joint Commission;

(g) Perform any other task, upon request from the Council, to support the implementation of resolution 2231 (2015).

Cooperation with other entities

139. In addition to seeking the cooperation and assistance of Member States, the Division is expected to cooperate closely with the Joint Commission established in the Joint Comprehensive Plan of Action and its Procurement Working Group, the International Atomic Energy Agency and other relevant United Nations agencies, international organizations and entities.

Performance information

140. The Security Council Affairs Division supported informal meetings of the Council at the expert level, as well as an open briefing of the Facilitator to inform Member States about the implementation of resolution 2231 (2015).

141. The Division established practical arrangements required by the procurement channel, in close consultation with the Facilitator and the Coordinator of the Procurement Working Group of the Joint Commission; processed proposals for nuclear-related transfers/activities; and responded to numerous queries about the procedures for submission of proposals and the review process. The Division also

assisted the Council in monitoring the implementation of the resolution, including by preparing briefings on alleged actions inconsistent with the resolution. In addition, the Division actively promoted available information on the resolution through the Council's website.

Table 38
Performance information for 2016

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(a) Improved organization and procedural aspects of meetings; enhanced technical Secretariat support to the work of the Security Council on resolution 2231 (2015)	• The Division supported two informal meetings of the Council at the expert level on issues related to the implementation of the resolution • The Division provided assistance to the Facilitator in holding an open briefing to inform Member States about the implementation of the resolution
(b) Enhanced capacity of the Security Council to review and decide on recommendations from the Joint Commission regarding proposals for nuclear-related transfers/activities	• The Division established the required practical arrangements to facilitate communication with Member States and between the Council and the Joint Commission in relation to the procurement channel • The Division processed submitted proposals in accordance with the procedures and timelines defined in the resolution
(c) Enhanced capacity of the Security Council to implement resolution 2231 (2015)	• The first biannual report of the Secretary-General (S/2016/589) was submitted on 18 July 2016
(d) Improved awareness by States on the implementation of resolution 2231 (2015)	• As at June 2016, 68,500 pages viewed were registered on the dedicated website (www.un.org/en/sc/2231/) • The dedicated website has been updated twice in all six official languages
(e) Improved compliance by States with resolution 2231 (2015)	• The Division assisted the Council in monitoring the implementation of the resolution, including by preparing briefings for its members on alleged actions inconsistent with the resolution

Planning assumptions for 2017

142. In 2017, the Security Council Affairs Division will continue servicing the Council and its Facilitator in a manner comparable to that for the servicing of a subsidiary organ, in particular by staffing informal meetings, managing all incoming and outgoing communications and drafting the correspondence, speaking notes and briefings of the Facilitator. The Division will also process an increasing number of proposals for nuclear-related transfers/activities submitted by Member States to the Security Council for its approval. It is expected that proposals will be submitted in any of the six official languages and therefore may require translation before transmission to the Joint Commission, whose working language is English. The processing of each proposal through the procurement channel could entail up to 20 official incoming and outgoing communications. The processing of all proposals will require systematic tracking arrangements and close liaison with the Procurement Working Group. The Division will also continue to assist the Council in monitoring

the implementation of resolution 2231 (2015) and present relevant findings and recommendations in the biannual reports of the Secretary-General. Lastly, the Division will support outreach activities of the Facilitator and will continue to assist the Facilitator in answering queries from Member States. It is expected that there will still be many such queries owing to the complexities of the resolution. In addition, the Division will also assist the Council in the development of relevant guidance and maintain the dedicated website on the resolution.

143. The objective, expected accomplishments, indicators of achievement and performance measures for the mission are set out in table 39.

Table 39
Objective, expected accomplishments, indicators of achievement and performance measures

Objective of the Organization: To ensure the full implementation of resolution 2231 (2015)

			Performance measures		
Expected accomplishment	*Indicators of achievement*		*2017*	*2016*	*2015*
(a) Improved organization and procedural aspects of meetings; enhanced technical Secretariat support to the work of the Security Council on resolution 2231 (2015)	(i) Degree of satisfaction expressed by members of the Security Council with the technical, procedural and administrative support provided by the Security Council Affairs Division	Target	100 per cent	100 per cent	–
		Estimate		100 per cent	–
		Actual			–

Outputs

- Number of expert-level meetings of the Security Council on issues related to the implementation of resolution 2231 (2015) (10)

			Performance measures		
Expected accomplishment	*Indicators of achievement*		*2017*	*2016*	*2015*
(b) Enhanced capacity of the Security Council to review and decide on recommendations from the Joint Commission regarding proposals for nuclear-related transfers/activities	(i) Degree of satisfaction expressed by members of the Security Council with the services provided by the Division in processing the nuclear-related proposals in a timely and efficient manner	Target	100 per cent	100 per cent	–
		Estimate		100 per cent	–
		Actual			–
	(ii) Percentage of proposals submitted by States on nuclear-related transfers/ activities tracked	Target	100 per cent	100 per cent	–
		Estimate		100 per cent	–
		Actual			–

Outputs

- Number of proposals from Member States for nuclear-related transfers/activities processed (200)

			Performance measures		
Expected accomplishment	*Indicators of achievement*		*2017*	*2016*	*2015*
(c) Enhanced capacity of the Security Council to implement resolution 2231 (2015)	(i) Number of findings and recommendations by the Secretary-General agreed upon by the Security Council	Target	12	6	–
		Estimate		6	–
		Actual			–

Outputs

- Reports of the Secretary-General to the Security Council (2)
- Findings and recommendations to the Security Council to improve the implementation of resolution 2231 (2015) (20)

Expected accomplishment	*Indicators of achievement*		*Performance measures* 2017	2016	2015
(d) Improved awareness by States on the implementation of resolution 2231 (2015)	(i) Number of pages viewed on the dedicated resolution website	Target	100 000	50 000	–
		Estimate		75 000	–
		Actual			–

Outputs

- Updates of the website in all official languages (60)
- Briefings on the implementation of resolution 2231 (2015) (15)
- Number of outreach events attended, supported and/or organized to promote understanding and implementation of resolution 2231 (2015) (15)

Expected accomplishment	*Indicators of achievement*		*Performance measures* 2017	2016	2015
(e) Improved compliance by States with resolution 2231 (2015)	(i) Number of communications from States on compliance-related issues	Target	20	20	–
		Estimate		20	–
		Actual			–
	(ii) Number of communications from States and other entities seeking advice on ways to improve the implementation of resolution 2231 (2015)	Target	20	20	–
		Estimate		20	–
		Actual			–

Outputs

- Guidance documents issued by the Council on the implementation of resolution 2231 (2015) (5)
- Communications to States and other entities providing advice on the implementation of resolution 2231 (2015) (20)

External factors

144. The objective would be achieved on the assumption that States comply fully with the provisions of Security Council resolution 2231 (2015).

Resource requirements (regular budget)

Table 40
Financial resources
(Thousands of United States dollars)

	1 January-31 December 2016				*Requirements for 1 January-31 December 2017*			
	Appropriation	*Estimated expenditure*	*Variance*	*Appropriation 2016*	*Total requirements*	*Non-recurrent requirements*	*Variance (2017-2016)*	*Net requirements for 2017[a]*
Category	*(1)*	*(2)*	*(3)=(1)-(2)*	*(4)=(1)*	*(5)*	*(6)*	*(7)=(5)-(4)*	*(8)=(5)-(3)*
Civilian personnel costs	910.2	654.2	256.0	910.2	1 756.1	–	845.9	1 500.1
Operational costs	381.0	381.0	–	381.0	380.7	–	(0.3)	380.7
Total	**1 291.2**	**1 035.2**	**256.0**	**1 291.2**	**2 136.8**	**–**	**845.6**	**1 880.8**

[a] Net requirements after taking into account the estimated underexpenditures or overexpenditures for 2016.

Table 41
Positions

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field Security Service*	*General Service*	***Total international***	*National Professional Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2016	–	–	–	–	1	5	2	–	**8**	–	3	**11**	–	–	–	**11**
Proposed 2017	–	–	–	–	1	5	2	–	**8**	–	3	**11**	–	–	–	**11**
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

145. The anticipated unencumbered balance for 2016 is attributable mainly to the higher actual average vacancy rate of 56 per cent for the Professional positions and 52 per cent for the General Service positions compared with the 40 per cent vacancy rate for the Professional positions and 50 per cent vacancy rate for the General Service positions approved in 2016.

146. The estimated requirements for 2017 amount to $2,136,800 (net of staff assessment). That amount would provide for salaries and common staff costs for the continuation of 11 positions (1 P-5, 5 P-4, 2 P-3 and 3 General Service (Other level)) ($1,756,100); official travel of staff, including travel of representatives ($126,100); and other operational and logistical support requirements, such as the rental of premises, communications, information technology equipment and miscellaneous supplies and services ($254,600).

147. No change is proposed for 2017 to the approved staffing structure for the implementation of Security Council resolution 2231 (2015).

148. The variance between the 2017 requirements and the 2016 approved budget is attributable mainly to the zero per cent vacancy rate applied in 2017, based on the latest recruitment schedule, compared with the 40 per cent vacancy rate for the Professional positions and 50 per cent vacancy rate for the General Service

positions approved in 2016, which are offset in part by the removal of non-recurrent provisions for communications equipment and laptops approved in 2016.

K. Support to the Security Council Committee established pursuant to resolution 1540 (2004) on the non-proliferation of all weapons of mass destruction

($2,875,700)

Background, mandate and objective

149. By its resolution 1540 (2004), the Security Council, acting under Chapter VII of the Charter of the United Nations, decided that all States should refrain from providing any form of support to non-State actors that attempt to develop, acquire, manufacture, possess, transport, transfer or use nuclear, chemical or biological weapons and their means of delivery. In addition, all States, in accordance with their national procedures, were requested to adopt and enforce appropriate effective laws that prohibit any non-State actor from engaging in such activities, in particular for terrorist purposes, and to take and enforce effective measures to establish domestic controls to prevent the proliferation of nuclear, chemical or biological weapons and their means of delivery, including by establishing appropriate controls over related materials.

150. The Security Council established a Committee consisting of all members of the Council, to report to it on the implementation of the resolution. In accordance with resolution 1540 (2004), the Committee was provided with the assistance of experts. The Security Council extended the mandate of the Committee in 2006 by resolution 1673 and in 2008 by resolution 1810.

151. By its resolution 1977 (2011), the Security Council extended the mandate of the Committee until 25 April 2021. In paragraph 5 (a) of the resolution, the Council requested the Secretary-General to establish, in consultation with the Committee, a group of up to eight experts, acting under the direction and purview of the Committee, composed of individuals with the appropriate experience and knowledge to provide the Committee with expertise, to assist the Committee in carrying out its mandate. By its resolution 2055 (2012), the Council requested the Secretary-General to increase the size of the group of experts to up to nine experts. The group of experts provides support to the Committee on a day-to-day basis. Their tasks include the preparation of the Committee's matrix (a tool for recording data on the status of implementation of the resolution); providing advice to Member States on all areas relevant to resolution 1540 (2004) (including on assistance matters by matching requests and offers of assistance); raising awareness of the resolution (for example, through participation in outreach events); drafting papers for the Committee and its working groups; supplying, as requested, technical advice; and supporting the Committee in identifying effective practices.

152. In resolution 1977 (2011), the Security Council endorsed the existing administrative and logistical support provided to the Committee by the Office for Disarmament Affairs and called upon the Secretariat to provide and maintain sufficient expertise to support activities of the Committee. The Council also encouraged States that are able to do so to provide resources to the Office for Disarmament Affairs to assist States in implementing their obligations in respect of resolution 1540 (2004). The Office for Disarmament Affairs supports the activities

of the Committee and its group of experts relating to the implementation of resolution 1540 (2004). The Office supports these activities through the organization of regional and subregional workshops on the implementation of resolution 1540 (2004) and through country-specific missions and activities; by strengthening the cooperation between international, regional and subregional bodies through the organization of working meetings on cooperation in promoting the implementation of resolution 1540 (2004) and promoting their participation at these events; and by facilitating effective partnerships with civil society and the private sector through the organization of outreach events and other interactions with these stakeholders. The Office also provides administrative support and maintains the official website of the Committee that is overseen by the experts under the direction of the Committee with the aim of enhancing transparency in the work of the Committee and providing wider public access to information on its activities.

Cooperation with other entities

153. The Committee, its group of experts and the Office for Disarmament Affairs cooperate closely with international, regional and subregional organizations and other intergovernmental institutions and arrangements with relevant non-proliferation expertise.

154. Regional and subregional organizations have taken a proactive and supporting role in the implementation of resolution 1540 (2004). They provide valuable insights into the common needs and priorities of their Member States and help to deliver assistance. The Committee and its experts promote the establishment of regional coordinators within these organizations and support their activities relating to the implementation of resolution 1540 (2044), including through support for, and participation in, conferences and country-specific activities.

155. The Committee and its experts cooperate with the Security Council Committee established pursuant to resolutions 1267 (1999) and 1989 (2011) concerning Al-Qaida and associated individuals and entities, the Security Council Committee established pursuant to resolution 1988 (2011) concerning the Taliban and associated individuals and entities and the Security Council Committee established pursuant to resolution 1373 (2001) concerning counter-terrorism, and their experts. The three Committees have continued to provide joint briefings to the Council, outlining the areas of continued cooperation and coordination and conducted joint activities and visits to Member States.

Performance information

156. The Committee, its experts and the Office for Disarmament Affairs continue their efforts to advance the implementation of resolution 1540 (2004), guided by the programme of work. The Committee has made progress in enhancing its engagement with Member States, guided by the established principles of transparency, equal treatment, cooperation and consistency in its approach. Progress has been recorded by the Committee on the implementation of resolution 1540 (2004) by States, and considerable progress has been made in enhancing the transparency of the work and achievements of the Committee. The Committee also acknowledged further progress made in fostering cooperation with international, regional and subregional organizations and other entities and in developing a working relationship with non-governmental organizations and other civil society entities to facilitate the implementation of resolution 1540 (2004) by States.

Table 42
Performance information for 2016

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(a) Fuller implementation of resolution 1540 (2004)	• National reporting remains the main source of information for the Security Council's examination of the implementation of the requirements of resolution 1540 (2004) and the main indication of States' implementation measures. With 176 Member States reporting, the Committee has a reporting record of 91 per cent. During the period under review, two more States submitted their first national report; 33 States from all regions of the world provided additional information, described effective practices or provided comments and updates on their revised matrices, including on measures related to prohibiting non-State actors from using nuclear, chemical and biological weapons and their means of delivery, and strengthened controls to prevent the illicit trafficking of such weapons and related materials; and 10 States provided information on their national points of contact, bringing the total number of designated national points of contact to 89
	• The Committee matrices represent a valuable tool for the general examination of information on the status of implementation by States of resolution 1540 (2004). The Committee, with the assistance of its experts, revised the matrices. During the reporting period, all country examination sheets have been reviewed by the experts
(b) Enhanced capacity of States to implement resolution 1540 (2004)	• The Committee continued to strengthen its role in facilitating assistance for the implementation of resolution 1540 (2004). Relevant developments during the reporting period focused on processing assistance requests and facilitating "matchmaking" between assistance requests and offers. The consolidated list of States and international and regional organizations requesting assistance has been updated by the group of experts on a continuous basis
	• During the reporting period, the Committee and its experts conducted visits to Ghana, Lesotho, Malawi and Zambia
	• States are encouraged to prepare, on a voluntary basis, national implementation action plans, mapping out their priorities and plans for implementing the key provisions of resolution 1540 (2004). In the reporting period, the Committee and its experts, with the support of the Office for Disarmament Affairs, worked bilaterally with a number of Member States to facilitate the preparation of national implementation action plans. During the reporting period, six Member States submitted their plans; more are being prepared
	• In the period under review, the Office for Disarmament Affairs, in close cooperation with the Committee and its experts, organized and supported six regional activities which were attended by members of the Committee and its experts

	• In resolution 1977 (2011) the Council encouraged the Committee to draw on relevant expertise, including civil society and the private sector. During the reporting period, the Office for Disarmament Affairs co-organized a number of events to reach out to these stakeholders to which Committee members and the experts contributed
	• The Committee, assisted by its experts and the Office for Disarmament Affairs, continued its efforts to develop a compilation of effective practices in accordance with operative paragraph 12 of Security Council resolution 1977 (2011)
(c) Improved interaction with and among Member States, including by enhancing synergies of relevant United Nations system entities and cooperation with other international organizations	• The reporting period was marked by an increase in practical cooperation with international, regional and subregional organizations and other United Nations entities, such as nominations of additional points of contact
	• The 1540 Committee continued its cooperation with the Committees established pursuant to Security Council resolutions 1267 (1999) and 1989 (2011) and pursuant to resolution 1373 (2001)

Planning assumptions for 2017

157. In 2017, the Committee will continue to enhance the implementation of the requirements of resolution 1540 (2004) by Member States, in particular through country-specific activities, the facilitation of assistance and enhanced cooperation with international, regional and subregional organizations.

158. The Committee bases its work on an annual programme of work (S/2016/86), focusing its attention on five main areas: (a) monitoring and national implementation; (b) assistance; (c) cooperation with international organizations, including the Security Council Committees established pursuant to resolutions 1267 (1999) and 1373 (2001); (d) transparency and media outreach; and (e) administration and resources. The Committee will continue to be guided by the principles of transparency, equal treatment, cooperation and consistency in its approach. In order to implement the programme of work more efficiently, the Committee will continue to operate a system of four working groups, open to all members of the Committee.

159. The objective, expected accomplishments, indicators of achievement and performance measures of the support to the Committee are set out in table 43.

Table 43
Objectives, expected accomplishments, indicators of achievement and performance measures

Objective of the Organization: To prevent non-State actors from developing, acquiring, manufacturing, possessing, transporting, transferring or using nuclear, chemical or biological weapons and their means of delivery

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(a) Fuller implementation of resolution 1540 (2004)	(i) Number of States adopting additional measures to implement key requirements of resolution 1540 (2004)	Target	30	30	30
		Estimate		30	30
		Actual			30
	(ii) Number of country examination sheets (reviewed matrices)	Target	193	193	193
		Estimate		193	193
		Actual			193

Outputs

- Reports of the Chair of the Committee to the Security Council (4)
- Reports on international, regional and national conferences (100)
- Substantive servicing of meetings of the Committee and its working groups (15)

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(b) Enhanced capacity of States to implement resolution 1540 (2004)	(i) Number of identified best practices, experiences shared and lessons learned	Target	115	115	130
		Estimate		115	130
		Actual			130

Outputs

- Updated technical assistance database containing requests for assistance (1)
- Matchmaking facilitation of technical assistance in response to requests (15)
- Country-specific missions (8)
- Compilation of effective practices, templates and guidance (1)
- Regional capacity-building workshops and other outreach events organized or supported by the Office for Disarmament Affairs (3)

Expected accomplishment	*Indicators of achievement*		*Performance measures*		
			2017	*2016*	*2015*
(c) Improved interaction with and among Member States, including by enhancing synergies of relevant United Nations system entities and cooperation with international organizations	(i) Number of outreach events	Target	75	75	75
		Estimate		75	75
		Actual			75
	(ii) Number of joint activities of the three Security Council Committees (established pursuant to resolutions 1267 (1999) and 1989 (2011), resolution 1373 (2001) and resolution 1540 (2004))	Target	10	10	25
		Estimate		10	10
		Actual			10

	(iii) Number of activities involving international organizations and other entities in promoting the full implementation of resolution 1540 (2004)	Target	50	50	75
		Estimate		50	75
		Actual			75

Outputs

- Presentations at events organized by international and regional organizations dealing with issues related to the implementation of resolution 1540 (2004) and presentations at workshops and other outreach events organized or supported by the Office for Disarmament Affairs (50);

External factors

160. The objective would be achieved on the assumption that Member States continue to implement the requirements of resolution 1540 (2004) and, in particular, respond to specific requirements of resolution 1977 (2011).

Resource requirements (regular budget)

Table 44
Financial resources

(Thousands of United States dollars)

	1 January-31 December 2016			*Requirements for 1 January-31 December 2017*				
	Appropriation	*Estimated expenditure*	*Variance*	*Appropriation 2016*	*Total requirements*	*Non-recurrent requirements*	*Variance (2017-2016)*	*Net requirements for 2017[a]*
Category	*(1)*	*(2)*	*(3)=(1)-(2)*	*(4)=(1)*	*(5)*	*(6)*	*(7)=(5)-(4)*	*(8)=(5)-(3)*
Civilian personnel costs	802.6	787.6	15.0	802.6	757.4	–	(45.2)	742.4
Operational costs	2 340.5	2 340.5	–	2 340.5	2 118.3	–	(222.2)	2 118.3
Total	**3 143.1**	**3 128.1**	**15.0**	**3 143.1**	**2 875.7**	**–**	**(267.4)**	**2 860.7**

[a] Net requirements after taking into account the estimated underexpenditures or overexpenditures for 2016.

Table 45
Positions

	Professional and higher categories									*General Service and related categories*		*National staff*				
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field Security Service*	*General Service*	***Total international***	*National Professional Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2016	–	–	–	–	1	–	2	–	**3**	–	2	**5**	–	–	–	**5**
Approved 2017	–	–	–	–	1	–	2	–	**3**	–	2	**5**	–	–	–	**5**
Change	–	–	–	–	–	–	–	–	**–**	–	–	**–**	–	–	–	**–**

161. The anticipated unencumbered balance in 2016 is due to the actual cost of entitlements for the incumbents of the positions being lower than budgeted.

162. The estimated requirements for 2017 amount to $2,875,700 (net of staff assessment). That amount would provide for salaries and common staff costs for the

continuation of five positions (1 P-5, 2 P-3 and 2 General Service (Other level)) to provide substantive and administrative support to the Committee ($757,400); expert fees ($1 622,100) and official travel ($95,700) of the nine experts; official travel of the members of the Committee and staff ($147,400); and other requirements, such as facilities and infrastructure ($163,000), communications ($11,900) and information technology equipment and maintenance ($78,200).

163. No change is proposed for 2017 to the approved staffing structure.

164. The variance between the 2017 requirements and the 2016 approved budget is due mainly to the nomination and selection process carried out by the 1540 Committee for five experts, resulting in a projected average monthly vacancy of one and a half person-months for four experts and the Coordinator, following the maximum service of five years for experts appointed to serve on the Security Council's groups and panels; reduced travel requirements for experts and staff owing to more extensive use of videoconferencing, the provision for salaries at the actual average step in grade and dependency status of the current incumbents, the ratio of actual common staff costs expenditures to salaries, based on expenditure trends, and the removal of the non-recurrent provisions for the replacement of four desktop computers approved in 2016.

Extrabudgetary resources

165. In its resolution 1977 (2011), the Security Council urged the Committee to encourage and take full advantage of voluntary financial contributions to assist States in identifying and addressing their needs for the implementation of resolution 1540 (2004). Most of the support provided by the Office for Disarmament Affairs for substantive activities of the Committee, including workshops and implementation or assistance-facilitation missions, is funded from extrabudgetary resources.

166. In 2016, extrabudgetary resources in the amount of $1.8 million are being used to support the Committee's country visits, including to facilitate the preparation of national action plans and related country-specific activities; to facilitate Member States' participation in events related to resolution 1540 (2004); to promote the coordination of activities relating to resolution 1540 (2004) carried out by international and regional organizations; to enhance cooperation with civil society and the private sector; and to continue to provide support for the publication *1540 Compass*.

167. In 2017, anticipated extrabudgetary funds in the amount of $1.8 million will be used to organize or support a number of activities relating to resolution 1540 (2004), including country visits; the facilitation of Member States' participation in events relating to the resolution, including regional workshops; the preparation of national action plans and related country-specific activities; the facilitation of national capacity-building in implementing specific requirements of resolution 1540 (2004); and continued support for the publication *1540 Compass*.

L. Counter-Terrorism Committee Executive Directorate

($9,531,200)

Background, mandate and objective

168. The Counter-Terrorism Committee Executive Directorate was established by Security Council resolution 1535 (2004) to assist the Counter-Terrorism Committee in its work of monitoring, facilitating and promoting the implementation of Security Council resolutions 1373 (2001), 1624 (2005) and 2178 (2014). By its resolution 2129 (2013), the Council extended the mandate of the Executive Directorate until 31 December 2017, and the interim review by the Council was completed in December 2015.

169. In its resolution 1373 (2001), the Security Council requested Member States to introduce measures to enhance their legal, institutional and operational capacities to counter terrorist activities, including measures to criminalize the financing of terrorism; freeze without delay any funds related to persons involved in acts of terrorism; deny all forms of financial support for terrorist groups; suppress the provision of safe haven, sustenance or support for terrorists; share information with other Governments on any groups planning terrorist acts; cooperate with other Governments in the investigation, detection, arrest, extradition and prosecution of those involved in such acts; and criminalize active and passive assistance for terrorism in domestic law and bring violators to justice.

170. In its resolution 1624 (2005), the Security Council called on Member States to prohibit by law and prevent incitement to commit acts of terrorism and to deny safe haven to anyone with respect to whom there is credible and relevant information giving serious reasons for considering that they have been guilty of such conduct. In the resolution, the Council also called on States to continue international efforts to enhance dialogue and broaden understanding among civilizations and to counter incitement motivated by extremism and intolerance.

171. In its resolution 2129 (2013), the Security Council assigned to the Executive Directorate additional tasks, including advising Member States in developing national comprehensive and integrated counter-terrorism strategies and implementing mechanisms, and undertake analysis to identify emerging issues, trends and developments related to resolutions 1373 (2001) and 1624 (2005).

172. In its resolution 2178 (2014), the Security Council tasked the Executive Directorate with, inter alia, supporting the Committee in: (a) identifying gaps in Member States' implementation of resolutions 1373 (2001) and 1624 (2005) that may hinder States' abilities to stem the flow of foreign terrorist fighters; (b) identifying good practices to stem the flow of foreign terrorist fighters; and (c) facilitating necessary technical assistance.

173. In its resolution 2242 (2015), the Council tasked the Executive Directorate with integrating gender as a cross-cutting issue throughout its activities, including within country-specific assessments and reports, recommendations made to Member States, facilitating technical assistance delivery to Member States, and briefings to the Council.

174. In its resolution 2253 (2015), the Council tasked the Executive Directorate with providing analysis, in close collaboration with the Monitoring Team as well as

other relevant United Nations actors, to the Secretary-General's strategic-level report on the threat posed to international peace and security by ISIL (Da'esh) and associated individuals, groups, undertakings and entities, including foreign terrorist fighters joining ISIL and these groups and entities, and the sources of their financing, as well as their planning and facilitation of attacks, reflecting the range of United Nations efforts in support of Member States in countering this threat, and with providing updates every four months thereafter.

175. The Council, in its presidential statements S/PRST/2014/23 and S/PRST/2016/6, also tasked the Executive Directorate with: (a) submitting a report to the Committee on gaps of Member States in the use of advance passenger information, and making recommendations to expand the use of advance passenger information, including plans to facilitate the required capacity-building; and (b) assisting the Counter-Terrorism Committee in preparing a proposal to the Council by 30 April 2017 for a "comprehensive international framework", with recommended guidelines and good practices to effectively counter, in compliance with international law, the ways that ISIL (Da'esh), Al-Qaida and associated individuals, groups, undertakings and entities use their narratives to encourage, motivate and recruit others to commit terrorist acts.

176. The United Nations Global Counter-Terrorism Strategy, adopted by the General Assembly in its resolution 60/288, also assigned a number of tasks to the Executive Directorate, including (a) assisting relevant regional and subregional organizations in strengthening their counter-terrorism mechanisms; (b) facilitating the adoption of legislation and administrative measures to combat terrorism; (c) identifying counter-terrorism good practices, together with relevant international organizations; and (d) facilitating technical assistance.

177. Country visits are an important tool of the Committee and the Executive Directorate in their direct interaction and engagement with Member States aimed at assessing States' compliance with the requirements of resolutions 1373 (2001), 1624 (2005), 1963 (2010), 2129 (2013) and 2178 (2014), as well as discussing terrorism trends and challenges and national counter-terrorism efforts, strengths and weaknesses and technical assistance needs.

Cooperation with other United Nations bodies, organizations and entities

178. The Committee and the Executive Directorate continue to partner with relevant United Nations entities, international, regional and subregional organizations in working with Member States and continue to engage with a number of non-governmental actors in promoting the effective implementation of resolutions 1373 (2001), 1624 (2005), 1963 (2010), 2129 (2013), and 2178 (2014). The Executive Directorate continues to participate in the activities of the Global Counterterrorism Forum and its various regional and thematic groups in identifying and promoting good practices in combating terrorism and countering violent extremism.

179. Within the United Nations system, the Executive Directorate continues to consult and interact with the Department of Political Affairs, the Department of Peacekeeping Operations and resident coordinators of the United Nations Development Programme within the framework of country visits; with the experts of the Analytical Support and Sanctions Monitoring Team 1267/1989/2253 ISIL (Da'esh) and Al-Qaida Sanctions Committee and the expert group of the Security Council Committee established pursuant to resolution 1540 (2004), with the Special

Envoys of the Secretary-General on Africa, West Africa and the Sahel region, with the United Nations Assistance Mission for Iraq and with other partners on issues of common concern and thematic issues considered by the Committee. The Executive Directorate also continues to work closely with the Terrorism Prevention Branch of UNODC, United Nations specialized agencies, INTERPOL, WCO and OSCE and, as a core member of the Counter-Terrorism Implementation Task Force, with various task force entities and the United Nations Counter-Terrorism Centre on the facilitation of technical assistance aimed at strengthening Member States' counter-terrorism capacities.

Performance information

180. In 2016, the Executive Directorate, acting on the Committee's behalf, conducted country assessment missions to 8 States (thus bringing the total number of States visited since 2005 to 114) with a view to discussing progress, shortfalls and technical assistance needs or strengths and good practices. The majority of the recommendations made as a result of the visits concerned strengthening Member States' criminal-justice capacities, including with respect to the foreign terrorist fighter threat; harmonizing terrorism offences with the international counter-terrorism instruments; strengthening international cooperation; countering terrorist financing; strengthening border controls; countering incitement to commit terrorist acts; creating national strategies for countering violent extremism; and strengthening respect for international human rights obligations and the rule of law.

181. Also in 2016, pursuant to Security Council resolution 2129 (2013), the Executive Directorate issued two updated versions of the global implementation surveys of Member States' implementation of resolutions 1373 (2001) and 1624 (2005) (S/2016/49 and S/2016/50, respectively), providing a panorama of the current global counter-terrorism landscape.

182. The Committee, with the support of the Executive Directorate, pursuant to resolution 2178 (2014) and the Council's presidential statement S/PRST/2014/23 of 19 November 2014, produced a number of analytical documents on the phenomenon of foreign terrorist fighters, which analysed the shortfalls to be addressed by Member States and issues related to the financing of ISIL (Da'esh), Al-Qaida and associated parties. The Executive Directorate also provided assistance to the Committee in organizing a number of special events, including a special meeting and an open briefing on measures to stem the flow of foreign terrorist fighters.

183. In addition, the Executive Directorate assisted the Committee in conducting a series of open meetings and briefings to Member States and international and regional organizations covering thematic issues of criminal justice, aviation security, emergency responses, new initiatives to address foreign terrorist fighters, the role of judges, women and information and communications technology (ICT) in the context of combating terrorism, and commemorating the 10-year anniversary of the adoption of resolution 1624 (2005).

184. In 2016, The Executive Directorate expanded the scope of its activities relating to the use of ICT by terrorists with the key objectives of enhancing the capacity of law enforcement officials to counter terrorists' use of ICT and developing a dialogue between Member States and the private sector to counter the use by terrorists of ICT resources.

185. The Executive Directorate continued to provide assistance to the Committee and its subcommittees in conducting the "stocktaking" of the implementation efforts of Member States, including through the overview of implementation assessment and the detailed implementation survey.

186. The Executive Directorate continued to facilitate the delivery of technical assistance to enhance States' capacity to implement resolutions 1373 (2001), 1624 (2005) and 2178 (2014). On behalf of the Committee, the Executive Directorate made some 60 technical assistance recommendations.

187. In accordance with resolution 2129 (2013), the Executive Directorate continued to develop the global research network which serves to strengthen the capacity of the Executive Directorate to identify new trends and developments related to terrorism.

188. The Executive Directorate continued its work on updating the technical guide designed to assist Member States in the effective implementation of all relevant resolutions on counter-terrorism.

189. Within the framework of the Committee's country visits, the Executive Directorate also continued to engage with States on their efforts to implement the provisions of resolutions 1624 (2005) and 2178 (2014) on the prohibition of incitement to terrorism and the promotion of dialogue among civilizations, as well as on countering violent extremism.

Table 46
Performance information for 2016

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(a) Improved capacity of Member States to implement Security Council resolutions 1373 (2091), 1624 (2005) and 2178 (2014)	• The country assessment visits (8) conducted by the Executive Directorate on the Committee's behalf continued to serve as a platform for direct interaction with Member States to discuss their counter-terrorism policies and approaches and the challenges that they face, and as a foundation for facilitating the delivery of related capacity-building assistance. In this regard, the Directorate, on behalf of the Committee, made over 140 recommendations to ensure compliance with relevant Security Council resolutions, and identified some 50 technical assistance needs. The Committee also identified a number of good practices in the implementation of resolutions 1373 (2001), 1624 (2005), 1963 (2010), 2129 (2013) and 2178 (2014). Measures taken by Member States to counter incitement and violent extremism continued to be discussed during country visits • The Executive Directorate continued to work with Member States and regional organizations on the development of comprehensive and integrated counter-terrorism regional and national strategies, in accordance with resolutions 1963 (2010) and 2129 (2013)

Expected accomplishments	Actual results, with a focus on major indicators of achievement
(b) More comprehensive guidance to Member States on the implementation of relevant Security Council resolutions and the relevant provisions of the General Assembly counter-terrorism resolutions	• The Executive Directorate continued to facilitate the delivery of technical assistance to Member States wherever gaps or vulnerabilities in counter-terrorism capacities were identified • The Executive Directorate continued to assist the Counter-Terrorism Committee in holding informal briefings for the States most affected by the phenomenon of foreign terrorist fighters to raise their awareness about the effective measures that need to be in place in order to stem the flow of foreign terrorist fighters • The Executive Directorate also provided substantive support for regional initiatives launched by its partners in order to assist Member States in implementing the requirements of resolution 2178 (2014) and stemming the flow of foreign terrorist fighters • The Executive Directorate facilitated the organization of a national workshop on the effective implementation of resolutions 1624 (2005) and 2178 (2014) in Tunisia • In the area of criminal justice, the Executive Directorate, in collaboration with UNODC, facilitated regional workshops for the States of the Maghreb on investigating and prosecuting terrorist financing cases, converting intelligence into evidence and building intelligence from information/case management, and on the challenges posed by a criminal justice response to terrorism preventive offences in the fight against terrorism • The Executive Directorate organized its eleventh workshop for judges, prosecutors and police officers of South Asia. It also organized the second regional meeting for a similar dialogue for the States of North-East Asia • The Executive Directorate, in collaboration with UNODC, facilitated a national workshop on inter-agency cooperation for investigators and prosecutors of Nigeria • The Executive Directorate held an open briefing on the effective adjudication of terrorism cases and, in partnership with the Global Centre on Cooperative Security, helped to develop a regional toolkit to support the effective adjudication of terrorism cases in South Asia • The Executive Directorate provided extensive substantive support for several initiatives aimed at supporting the criminal justice response to terrorism in countries of the Euro-Mediterranean Partnership and the Middle East and North Africa regions • The Executive Directorate also promoted the development of an informal network of Supreme Court judges to share (internally and with the Committee and the Executive Directorate) suggestions, examples of good practices and feedback concerning their efforts to ensure the effective adjudication of counter-terrorism cases

Expected accomplishments	Actual results, with a focus on major indicators of achievement
	• In the area of border security, the Executive Directorate, in collaboration with partner institutions, facilitated the organization and holding of the first annual meeting of networks of police, customs and intelligence in charge of border control in the context of the fight against terrorism in the Sahel and the Maghreb
	• A series of five regional workshops aimed at raising awareness and building capacity on advance passenger information were held in 2016
	• The Executive Directorate facilitated new initiatives on self-regulation of the ICT industry for which 3 workshops in Europe, Silicon Valley, and Asia were organized in 2016. A new initiative on cooperation between prosecutors and communication service providers was also launched with the International Association of Prosecutors
	• The Executive Directorate, on behalf of the Counter-Terrorism Committee, the 1267/1989/2243 ISIL (Da'esh) and Al-Qaida Sanctions Committee and the Financial Action Task Force, held a joint open briefing in March 2016 on depriving terrorist groups of sources of funding. A joint special meeting to build on the outcomes of the briefing and to discuss more in-depth national practices is planned for December 2016
(c) Better engagement by Member States and civil society in the work of the Counter-Terrorism Committee to implement resolutions 1373 (2001), 1624 (2005) and 2178 (2014)	• The Executive Directorate continued to promote the work of the Committee through various means, including traditional and new media and strategic engagement with key stakeholders. In 2016, there was a significant increase in the number of open and special briefings held, as well as outreach activities that led to increased visibility of the Committee and its Executive Directorate, both of which were more actively engaged with civil society and the private sector on a number of joint projects

Planning assumptions for 2017

190. The mandate of the Executive Directorate is subject to a mandate renewal review by the Security Council, to be conducted by 31 December 2017. Pursuant to the mandates conferred by the Council, the Executive Directorate will undertake a number of activities and initiatives, including: (a) taking stock of the implementation of resolutions 1373 (2001), 1624 (2005) and 2178 (2014) by Member States using the assessment tools; (b) conducting country assessment and fact-finding visits to identify progress, gaps, technical assistance needs and good practices in the implementation of resolutions 1373 (2001), 1624 (2005) and 2178 (2014); (c) revising the Committee's technical guide on the implementation of resolutions 1373 (2001), 1624 (2005) and 2178 (2014); (d) conducting new terrorism threat and trends analysis to assist the Committee work; (e) engaging with donor States and organizations on the facilitation of technical assistance delivery to States in need and taking measures to assess the impact of donor-supported project activity linked to building capacity and cooperation; (f) conducting dialogues with Member States in integrating gender as a cross-cutting issue throughout its mandated activities; (g) working with Member States in the introduction and the use of advance passenger information; (h) assisting the Committee in the preparation of

a proposal for a "comprehensive international framework" with recommended guidelines and good practices on counter-narratives; (i) updating the Committee's directories of good practices for the implementation of resolutions 1373 (2001) and 1624 (2005); (j) strengthening the role of the Executive Directorate in providing assistance to Member States for the development of comprehensive and integrated counter-terrorism strategies and their implementing mechanisms within the framework of the work of the Counter-Terrorism Implementation Task Force; (k) organizing special meetings and events of the Committee with international, regional and subregional organizations on counter-terrorism-related issues; (l) promoting respect for human rights and the rule of law in countering terrorism; (m) promoting the Madrid Guiding Principles on foreign terrorist fighters; (n) engaging with development entities and special envoys, the Department of Political Affairs and the Department of Peacekeeping Operations, as well as with civil society, in relation to the implementation of resolutions 1373 (2001) and 1624 (2005); and (o) undertaking other additional tasks.

191. The objective, expected accomplishments, indicators of achievement and performance measures of the Executive Directorate are set out in table 47.

Table 47
Objectives, expected accomplishments, indicators of achievement and performance measures

Objective of the Organization: To ensure the comprehensive implementation of Security Council resolutions 1373 (2001), 1624 (2005) and 2178 (2014), relevant parts of the United Nations Global Counter-Terrorism Strategy, and other relevant counter-terrorism resolutions

Expected accomplishment	*Indicators of achievement*	*Performance measures*	*2017*	*2016*	*2015*
(a) Improved capacity of Member States to implement Security Council resolutions 1373 (2001), 1624 (2005) and 2178 (2014)	(i) Number of recommendations made by the Counter-Terrorism Committee and its Executive Directorate in order to ensure compliance with resolutions 1373 (2001), 1624 (2005), 1963 (2010), and 2178 (2014)	Target	165	140	110
		Estimate		140	120
		Actual			120
	(ii) Number of recommendations for technical assistance made by the Executive Directorate and agreed upon by Member States	Target	70	60	47
		Estimate		60	45
		Actual			45

Outputs

- Country assessment missions (10)
- Advocacy visits conducted (5)
- High-level visits by the Chair (4)
- Detailed implementation surveys completed for review and approval by the Counter-Terrorism Committee (10)
- Updated technical guide to the implementation of resolution 1373 (2001) by Member States (1)
- Technical guide to the implementation of resolution 1624 (2005) by Member States (1)
- Updated analysis on the foreign terrorist fighter phenomenon in the most affected States (4)
- Informal Committee meeting(s) with technical assistance providers and donors to facilitate technical assistance to the most affected Member States by the foreign terrorist fighter phenomenon (1)

Expected accomplishment	*Indicators of achievement*		*Performance measures* 2017	2016	2015
(b) More comprehensive guidance to Member States on the implementation of relevant Security Council resolutions and the relevant provisions of the General Assembly counter-terrorism resolutions	(i) Number of Member States participating in workshops/seminars facilitated by the Executive Directorate with United Nations entities and international, regional or subregional organizations to develop national or regional counter-terrorism capacities	Target	80	65	69
		Estimate		65	50
		Actual			50

Outputs

- Briefings to the Committee, the Security Council and Member States on overall findings with respect to the implementation of resolutions 1373 (2001) and 1624 (2005) and other relevant resolutions (10)
- Special meetings of the Counter-Terrorism Committee (2)
- Regional and national workshops facilitated or co-facilitated by the Counter-Terrorism Committee Executive Directorate with other entities and donors that promote integrated approaches to the implementation of all relevant United Nations counter-terrorism resolutions (12)
- Informal Committee meeting(s) with the most affected Member States by the foreign terrorist fighter phenomenon (2)

Expected accomplishment	*Indicators of achievement*		*Performance measures* 2017	2016	2015
(c) Better engagement by Member States and the civil society in the work of the Counter-Terrorism Committee and the Executive Directorate to implement resolutions 1373 (2001),1624 (2005) and 2178 (2014)	(i) Number of visits to the Committee's website	Target	120 000	108 000	87 000
		Estimate		108 000	98 000
		Actual			98 000
	(ii) Number of civil society entities, including multinational corporations, private donor organizations, non-governmental organizations, academic groups anu other entities working with the Executive Directorate	Target	100	80	50
		Estimate		80	70
		Actual			70

Outputs

- Regular updates and feature enhancements of the Committee's website in the six official languages of the United Nations (60)
- Briefings to regional organizations, non-governmental organizations, academic groups and other entities to explain the counter-terrorism activities of the Committee and the Executive Directorate (40)
- Counter-Terrorism Committee and Executive Directorate media conferences, press statements and press releases (40)
- Press kits distributed to Member States, the media, civil society and non-governmental organizations promoting the work of the Committee and the Executive Directorate (500)

External factors

192. The objective would be achieved on the assumption that Member States implement the relevant resolutions of the Security Council and provided that the collection and analysis of information for the Counter-Terrorism Committee are not hindered.

Resource requirements (regular budget)

Table 48
Financial resources
(Thousands of United States dollars)

	1 January-31 December 2016				*Requirements for 1 January-31 December 2017*			
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance* (3)=(1)-(2)	*Appropriation 2016* (4)=(1)	*Total requirements* (5)	*Non-recurrent requirements* (6)	*Variance (2017-2016)* (7)=(5)-(4)	*Net requirements for 2017*[a] (8)=(5)-(3)
Civilian personnel costs	6 932.7	7 118.0	(185.3)	6 932.7	7 452.1	–	519.4	7 637.4
Operational costs	1 791.0	1 791.0	–	1 791.0	2 079.1	1.2	288.1	2 079.1
Total	**8 723.7**	**8 909.0**	**(185.3)**	**8 723.7**	**9 531.2**	**1.2**	**807.5**	**9 716.5**

[a] Net requirements after taking into account the estimated underexpenditures or overexpenditures for 2016.

Table 49
Positions

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field Security Services*	*General Service*	***Total international***	*National Professional Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2016	–	1	1	2	9	13	6	3	**35**	–	8	**43**	–	–	–	**43**
Proposed 2017	–	1	1	2	10	13	6	3	**36**	–	8	**44**	–	–	–	**44**
Change	–	–	–	–	**1**	–	–	–	**1**	–	–	**1**	–	–	–	**1**

193. The anticipated overrun in 2016 is due mainly to the actual vacancy rate of zero per cent, compared with the 5 per cent rate approved in 2016.

194. The estimated requirements for 2017 amount to $9,531,200. That amount would provide for: salaries and common staff costs for 44 positions, including the continuation of 43 positions (1 Assistant Secretary-General, 1 D-2, 2 D-1, 9 P-5, 13 P-4, 6 P-3, 3 P-2, 1 General Service (Principal level) and 7 General Service (Other level)), and the creation of 1 position (1 P-5) ($7,452,100); consultant fees and related travel ($261,000); official travel of staff of the Executive Directorate ($873,000); office supplies and facilities and infrastructure ($720,800); communications, including public information services ($105,000); information technology ($107,300); and other supplies and services ($12,000).

195. In 2017, it is proposed that one position of Senior Legal Officer (P-5) be created. Provisions for two consultants are also proposed for the preparation of a comprehensive international framework with guidelines, principles and good practices for countering the narrative of ISIL (Da'esh), Al-Qaida and other terrorist groups, as requested by the Security Council in its presidential statement of 11 May 2016 (S/PRST/2016/6).

196. In its resolution 2242 (2015), in view of recent developments related to terrorism, its growing threat and the involvement of multiple actors, including women, the Security Council introduced a modification into the monitoring and assessment mandate of the Counter-Terrorism Committee and its Executive Directorate by specifically requesting them, in paragraph 11, to integrate gender as a cross-cutting issue throughout their activities, within their respective mandates, including within country-specific assessments and reports, recommendations to Member States, the facilitation of technical assistance delivery to Member States, and briefings to the Council. It also encouraged the Committee and its Executive Directorate to hold further consultations with women and women's organizations to help inform their work. In addition, in paragraph 12 of resolution 2242 (2015), the Council requested United Nations entities, including the Executive Directorate, to conduct and gather gender-sensitive research and data on the drivers of radicalization of women and to ensure that United Nations monitoring and assessment mechanisms and processes to prevent and respond to violent extremism that can be conducive to terrorism include the necessary gender expertise to fulfil their mandates. Lastly, in paragraph 13 of resolution 2242 (2015), the Council urged the United Nations system to ensure the participation and leadership of women and women's organizations in developing strategies to counter terrorism and violent extremism that can be conducive to terrorism (including by countering incitement to commit terrorist acts, creating counter-narratives and other appropriate interventions, and building their capacity to do so effectively) and further to address, including through the empowerment of women, the conditions conducive to the spread of terrorism and violent extremism that can be conducive to terrorism. The proposed additional Senior Legal Officer (P-5) would coordinate and take the lead in mainstreaming gender throughout the activities of the Executive Directorate, as a cross-cutting issue, including in country-specific assessments and reports, recommendations made to Member States, the facilitation of technical assistance delivery to Member States, and briefings to the Council. The incumbent would also be responsible for assisting the Counter-Terrorism Committee in incorporating the gender dimension into its mandate and act as a focal point for relevant United Nations partner offices, as well as external partners.

197. The Senior Legal Officer would oversee gender-sensitive research and data collection on the drivers of radicalization of women and provide the necessary gender expertise to fulfil the mandate of the Executive Directorate. In close cooperation with the Executive Directorate's thematic experts on human rights and countering violent extremism, the incumbent would ensure the participation and leadership of women and women's organizations in the activities of the Executive Directorate in order to facilitate Member States' development of strategies to counter-terrorism and violent extremism that can be conducive to terrorism, including through countering incitement to commit terrorist acts.

198. The Senior Legal Officer would prepare proposals and policy guidance on gender mainstreaming and review and monitor gender dimensions in the regions most affected by terrorism, based on relevant information and analysis, including from United Nations and external partners. She or he would take the lead in ensuring inclusion of the gender dimension in analytical reports, papers and proposals prepared for the Counter-Terrorism Committee and the Council, as well as in talking points, briefing notes and presentations to be delivered by the Executive Director of the Executive Directorate to the Committee, the Council and the Executive Office of the Secretary-General.

199. The variance between the 2017 requirements and the 2016 approved budget is attributable mainly to the proposed creation of the one position of Senior Legal Officer (P-5) and consultancy requirements on counter-narratives.

Extrabudgetary resources

200. During 2016, extrabudgetary funds in the amount of $500,000 are being used to organize follow-up workshops and relevant initiatives aimed at promoting the implementation of resolutions 1373 (2001), 1624 (2005) and 2178 (2014) for national law enforcement officers, prosecutors and judges on bringing terrorists to justice, freezing assets and addressing the illicit movement of cash and bearer negotiable instruments across borders.

201. In 2017, the Executive Directorate will continue to use extrabudgetary funds in the estimated amount of $1,000,000 to organize several new and follow-up workshops in various regions of the world in accordance with the work programme approved by the Counter-Terrorism Committee; carry out research on strategic, political, legal, institutional and security issues related to ICT and counter-terrorism; and support international cooperation in the area of counter-terrorism.